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THESIS

**FUTURE DIRECTIONS IN LEADERSHIP – IMPLICATIONS FOR
THE SELECTION AND DEVELOPMENT OF SENIOR LEADERS**

by

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March 2003

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SELECTION AND DEVELOPMENT OF SENIOR LEADERS**

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ABSTRACT

This thesis examines contemporary ideas on leadership with special emphasis on how these concepts affect the development and selection of senior leaders. Leadership is a complex discipline and is described and analyzed through different leadership theories and models. Ongoing leadership research is promoting more integrative leadership constructs. Common features of effective leadership are present in the different models, as well as common characteristics of effective leaders.

Organizations must have a single, clearly defined leadership model, closely coordinated with its selection and development strategies. The leadership model must be relevant and meaningful for the people in the organization and be consistent with the organizational culture. The leadership model should underpin selection and development activities, and this applies in the Australian Defence Force (ADF) and other organizations.

Developing leaders within the organization is more effective than recruiting leaders externally. The concept of a leadership pipeline is examined. To select the best people for future leadership roles, succession management and talent management systems should be established.

Leadership development strategies include education, training, job experiences, action-learning projects, and mentoring and coaching. The ADF and other organizations should use an integrated leadership development framework incorporating the different learning strategies to develop future leaders.

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I. INTRODUCTION

A. BACKGROUND

With business activity increasing in speed and complexity, modern leaders have greater pressures than ever before. Greater uncertainty in international affairs, economic conditions, and changes in the political landscape are also creating new challenges for leaders in all organizations. Given this climate of change, organizations will require more leadership. However, noted leadership experts such as Kotter (1996) and Bennis (1994) have observed that there is a shortage of leaders.

Research and general interest in leadership theory and practice has proliferated in the last two decades. These activities have increased substantially the body of knowledge about leadership. New leadership theories and models have been presented and accepted. The trend has been towards creating more integrative constructs that capture the essence of leadership and what leaders do. Leadership is recognized as a complex issue and research is continuing to discover new ways of defining and presenting leadership.

Large organizations such as a defense force use leadership models to provide a framework for leadership education and practice. These models reflect the organization's culture at the time they are adopted. The leadership model provides a framework for understanding the essential leadership constructs, and it should allow individuals to develop their own leadership style that is consistent with that organizational culture. As leadership knowledge expands and deepens, these models must be revised to take advantage of new ideas and to ensure that the organization remains relevant to its members and the people that it serves. Changes in the organization's environment should cause the leadership model to be refined. These conditions could include new strategic direction, demographic changes in the customer base and workforce, speed of business activity and expansion into new areas. These changes have subsequent impact on the development of future leaders.

The development and selection of senior leaders is critical to organizational performance. Organizations have two options for filling their senior leadership positions, either they can promote internally or recruit externally. Some organizations such as the

military do not use the option of recruiting externally and hence their senior leadership must be grown from within. Two further options exist for organizations that promote internally. The first option is to develop a large pool of leaders from which to select the senior executive. This approach shows a strong organizational commitment to leadership development at all levels. The alternative is to select high-potential individuals for senior leadership and then continue their development. Both methods have merit and the organizational culture will influence the option that is most appropriate. Organizations that recruit their leaders externally compete for a limited pool of leaders without expanding that pool.

Leadership development is a critical activity for senior leaders. Firstly, senior leaders must maintain a commitment to lifelong learning and this behavior should be modeled throughout the organization. Secondly, senior leaders play an important role in developing the next generation of leaders, and these people must be prepared for the future challenges. Finally, while senior leaders are responsible for teaching others to develop their leadership capacities, leaders can also learn from their subordinates.

Organizations face difficult decisions in identifying, selecting and nurturing the best individuals for their top positions. Investment in a range of leadership developmental activities is critical to ensure that the best individuals are well prepared for these future challenges. If, as Quinn (1996) indicates, organizations in periods of rapid change must grow or die then, as leadership becomes more complex, organizations must remain open to new ideas and incorporate these new ideas into their existing leadership paradigms.

B. PURPOSE

The purpose of this research is to examine contemporary ideas in leadership with special emphasis on how these concepts affect the development and selection of senior leaders. The study examines contemporary leadership theory and practice in order to chart the direction of leadership thinking and to determine how these themes can be integrated into existing organizational leadership models. While the emphasis of the study is on military organizations, it is expected that the results will have wider application in a broad range of organizations.

The primary research questions are:

1. What are the best practices for selecting and developing senior leaders to meet an organization's future demands?
2. What are the implications for revising organizational leadership models, particularly for the Australian Defence Force (ADF)?

In order to answer these questions, other issues need to be addressed. The secondary issues include: the integration of contemporary thinking as an aspect of organizational culture, and the influence of the organizational culture on the leadership model and how leaders can influence the culture. It is recognized that the development and selection of leaders will vary between different organizations. The organization's core values, principles and beliefs are assumed to be important in applying a leadership developmental and selection framework.

C. SCOPE AND METHODOLOGY

The scope of the study includes:

1. A review of contemporary leadership theory and practice, which is centered on a literature review and other information sources.
2. An evaluation of the impact of contemporary leadership theory on organizational leadership models - how organizations deal with the integration of new ideas into their leadership model.
3. An examination of the implications for selecting and developing senior leaders. The thesis concludes with recommendations for identifying, selecting, and developing senior leaders.

The methodology used in this thesis research consists of the following steps.

1. Conduct a literature search of books, journal articles, and other resources.
2. Develop a taxonomy of leadership and management theories.
3. Identify the common trends about leadership and leaders from the different leadership theories and models.

4. Develop a framework for incorporating new leadership concepts into existing leadership models, which ensures that the organizational leadership model remains relevant.
5. Review leadership selection systems and identify key aspects in selecting and nurturing the future senior leaders.
6. Propose a leadership developmental framework, which incorporates multiple learning strategies.

D. ORGANIZATION OF THE THESIS

The study is organized into nine chapters and a brief description is as follows:

Literature Review. A literature review was completed to identify the main themes in current leadership models, theories and ideas. This review includes classical and contemporary leadership models. A taxonomy was developed to show how new leadership thinking is incorporated into the existing body of knowledge. The taxonomy is described in Chapter II and a more detailed discussion of the leadership models follows in Chapter III.

Common Trends In Leadership Models and Theories. There are significant elements of commonality and agreement among the different leadership theories. The identification of common trends in the leadership literature is necessary to understand the main tenets of leadership. These common trends help to define the essence of leadership. Chapter IV describes the common features of the various leadership models and their assertions about key characteristics of leaders.

Leadership and Organizations. Organizations use leadership models to provide a decision-making and behavioral framework for leaders and managers at different levels. An organization's preferred model should be consistent with the organization's vision, mission and values. Better models will be flexible, capable of incorporating new and more relevant ideas, and discarding concepts that are no longer appropriate. A critical organizational issue is how to refine the leadership model to ensure that it remains relevant. The organization's culture and potential barriers to leadership need to be

addressed as the institution grows and develops. Chapter V discusses the importance of leadership models to the organization.

Senior Leadership Selection. Senior leadership selection systems are closely aligned to the organization's talent management strategies. The organizational leadership model should assist in underpinning selection strategies. Traditionally, organizations have used replacement planning or succession planning systems to fill senior leadership positions. Other contemporary selection systems such as the leadership pipeline and the acceleration pool method are becoming more prevalent. The transition from one senior leadership level to another is also examined. Senior leadership selection is discussed in Chapter VI.

Development of Senior Leaders. Leadership development is the central concern of the study. Leaders should be motivated to learn, and developmental activities should be designed to meet an individual's needs. Different methodologies are examined for leadership development. The organizational leadership model should also support the leadership development framework. In developing leaders, an organization's current leadership team plays a significant role, and must endorse a range of learning alternatives to develop the organization's leadership potential. The team must remain open to new ideas and actively promote the inclusion of new ideas for the welfare of the organization. Leader development strategies are discussed in Chapter VII.

Implications for Military Organizations. The previous chapters have highlighted the importance of the organizational leadership model, along with leadership selection and development methodologies. A framework that integrates these three concepts is necessary to support consistent leadership within military organizations. As leadership knowledge continues to expand and as the environment continues to change, all organizations should continually revise their leadership models, as well as how they select and develop their leaders. While military organizations have instituted leadership models, selection processes, and training frameworks, there is potential to improve the coordination between these elements. Leadership practice within military organizations can be improved by developing a more robust leader selection and development

framework, which further integrates traditional training and personnel functions. These implications for military organizations are discussed in Chapter VIII.

Conclusion and Recommendations. The final chapter summarizes the main findings of the study. Recommendations are designed to help an organization refine its leadership models, identify, mentor and develop the future leadership team. These recommendations could be applied to different types of organizations.

II. A TAXONOMY OF LEADERSHIP MODELS

A. INTRODUCTION

Leadership and management theories have become more complex as the body of knowledge in this area has grown. While management studies remain popular, greater attention has been devoted to the art of leadership in the past two decades. Conger and Kanungo (1998) argue that the catalyst for this increased effort in leadership research was the belief that organizations in the 1980s were unable to meet the changing demands within the world - that organizations were being directed by too much management and not enough leadership.¹ Leadership experts such as Kotter and Bennis support this position. Others have argued that leadership and management needed to be considered together. A useful preliminary distinction to make between the two concepts is that leadership is largely an art whereas management is considered a science. While this differentiation is not absolute, it provides a reference point for the terms. The difference between leadership and management will be more deeply detailed later in this chapter.

The development of a leadership taxonomy is necessary to group the major theories and models. Five main areas have been identified and these are: (1) early models based on personal trait constructs; (2) different styles of leadership; (3) transactional and transformational models that grew from James McGregor Burns's 1978 book *Leadership*; (4) contemporary models from the late 1980s and early 1990s which incorporate change as a key tenet; and (5) recent integrative models synthesizing the best aspects of the other accepted models. This taxonomy is expanded and discussed in order to examine the common trends and differences among contemporary leadership ideas.

B. A DEFINITION OF LEADERSHIP

What is leadership? While this is a simple question, it is very hard to find a precise definition that has universal acceptance. Bennis (1994) states that leadership is like beauty: it's hard to define but you know it when you see it.² The Macquarie

¹ Conger, J.A., and Kanungo, R.N., Charismatic Leadership In Organizations, First Edition, Sage Publications, 1998, p. 8.

² Bennis, W.G., On Becoming A Leader, First Edition, Perseus Books, 1994, p. 1.

Dictionary (1998) does not provide a definition of leadership. It defines the verb ‘(to lead’ as to take or conduct on the way; go before or with to show the way; to guide in direction, course, action, opinion; to influence or induce to serve to bring to a place. These definitions are explicit in terms of showing the way, of taking responsibility and guiding others. This is consistent with the notion that leaders take charge and guide the direction of the organization. Those who believe that leaders are pathfinders build upon this concept. This definition is also useful in that it introduces the concept of service, which is a central tenet in more recent leadership thinking. The central themes of the pathfinder notion incorporate leaders being responsible for change, challenging the status quo and acting as catalysts or change agents. The recent concepts of servant and change leadership have become more central to leadership research and ideas in the 1990s. In order to better understand leadership theories, a more definitive definition of leadership is necessary.

Bass (1990) notes that the word leadership is a sophisticated, modern concept.³ It is also noted that while the word “leader” appeared in the English language around 1300, the word “leadership” did not appear until the first half of the nineteenth century in writings about the political influence and control of the British Parliament. Furthermore, many of the definitions of leadership are ambiguous, the distinction between leadership and other social-influence processes is often blurred, and the meaning of leadership may depend on the organizational setting.⁴ In order to resolve these concerns, Bass (1990) divides leadership into different functions or concepts, which include a focus on group process, a form of persuasion or influence, a power relation, initiation of structure and a function of personality. While this approach of using differentiated concepts is appealing, leadership should be considered as an entity that builds these features into an holistic approach. Leadership is a dynamic activity and it is required to adapt to different environments and new challenges.

The concept of a universally accepted definition of leadership is problematical. Some authors specifically define leadership, whereas others imply that leadership is an

³ Bass, B.M., Bass and Stogdill's Handbook of Leadership: Theory, Research and Managerial Applications, Third Edition, Free Press, 1990, p. 11.

⁴ ibid.

accepted and assumed concept that does not require definition. Terry (1993) notes that despite increasing attention to leadership education, there is little sustained systematic thinking about leadership itself, and leadership advocates seem confident in their knowledge of leadership until pressed to define it.⁵ Given the ambiguity that exists, leadership should be defined in order for a reference point to be established.

Some of the leadership definitions are simple such as Maxwell's (1995) "leadership is influence".⁶ Other definitions are more expansive. Hesselbein (2002) defines leadership as a matter of how to be, not how to do it.⁷ Like Maxwell's definition, this is a powerful concept in that it defines what the leader stands for, why they act in certain ways and defines the individual. Hesselbein (2002) also notes that this definition required careful introspection, which is considered to be a key requirement for leaders at all levels (Bennis (1994), Maxwell (1995), Charan, Drotter and Noel (2001), and Goleman, Boyatzis and McKee (2002)).

Chemers (1997) defines leadership as a process of social influence in which one person is able to enlist the aid and support of others in the accomplishment of a common task. This definition highlights social influence, group activity and a common task. The reality of leadership is also noted as being complex.⁸ These aspects are central to the core of leadership, particularly the notion of complexity.

Kotter (1996) views leadership as defining what the future should look like, aligning people with that vision and inspiring them to make it happen despite the obstacles.⁹ One advantage of this definition is that it implies that there is no end point and that leadership is continual. The concept of change is central to this definition.

Conger and Kanungo (1998) define the essential characteristics of leadership as: challenging the status quo; engaging in creative visioning for the future of the organization; and promoting appropriate followers' values, attitudes, and behaviors by

⁵ Terry, R.W., Authentic Leadership: Courage In Action, First Edition, Jossey-Bass, 1993, p. 5.

⁶ Maxwell, J.C., Developing The Leaders Around You, First Edition, Thomas Nelson Publishers, 1995, p. 195.

⁷ Hesselbein, F., Hesselbein on Leadership, Jossey Bass, First Edition, 2002, p. 3.

⁸ Chemers, M.M., An Integrative Theory of Leadership, First Edition, Lawrence Erlbaum Associates, 1997, p. 1.

⁹ Kotter, J.P., Leading Change, Harvard Business School Press, 1996, p. 25.

using empowering strategies and tactics.¹⁰ These latter two definitions concentrate on creating the future vision and culture as opposed to task achievement.

In these definitions of leadership some trends emerge. Leadership is about setting the vision, challenging the status quo, energizing others, overcoming obstacles and making a difference. The reality of leadership is that it is complex and dynamic and it depends on the environmental and organizational conditions present. The factors of human interaction and complexity mean that no universal approach will succeed in all circumstances.

C. DISTINCTION BETWEEN LEADERSHIP AND MANAGEMENT

The terms leadership and management are used interchangeably in some contexts. The term manager tends to be more widely used and has often been used in lieu of the term leader. It also appears that the term manager sits more comfortably with people in the private sector while the term leader is more comfortable in the military sector. Leaders exist in all sectors and at all levels, and they have a profound influence on modern thinking and behavior. Maxwell (1999) cites leadership examples from different fields including business, politics, science, philanthropy and the military.¹¹

There is reason to view the two terms as quite distinct. In recent literature, notably Kotter (1996) and Conger and Kanungo (1998), there has been an effort to distinguish between the two concepts. Kotter (1996) provides a distinction between the essentials of leadership and management as shown in Table 1.¹² While it is noted that this differentiation is based on business functions, it provides a useful reference point to contrast the two concepts, and is applicable to a variety of organizations including the military and is not specific to any particular industry or sector.

¹⁰ Conger, J.A., and Kanungo, R.N., opcit.

¹¹ Maxwell, J.C., The 21 Indispensable Qualities Of A Leader – Becoming The Person Others Will Want To Follow, First Edition, Thomas Nelson Publishers, 1999.

¹² Kotter, J.P., opcit, p. 26.

Table 1. Kotter's Distinction Between the Essentials of Leadership and Management

Management	Leadership
Planning and Budgeting – detailed plans for short-term goals	Establishing direction – defining the future vision and long-term objectives
Organizing and Staffing – organizing work teams and delegating responsibility	Aligning people – articulating the vision and influencing people
Controlling and Problem Solving – monitor results and reactive problem resolution	Motivating and Inspiring – energizing people to deliver results and meet higher needs
Result: produces predictable results and order.	Result: produces change to a dramatic degree.

Source: From Kotter (1996)

Kotter (1999) further comments that leadership is centrally important because it is different from management, and the primary force behind successful change is leadership and not management.¹³ While leadership and management are complementary, they serve different goals. Kotter (1999) states that the best firms have worked to clarify the differences between management and leadership or have been lucky to have at the helm a great role model for the current age.¹⁴ Lee Iacocca with the turnaround of Chrysler and Herb Kelleher with the formation of South-West Airlines are two examples of leaders being great models for their age. Leadership and management have quite different impacts on organizational performance. Organizations need both good leadership and management to realize their objectives. Leadership is about coping with change whereas management is about coping with complexity.¹⁵ Management brings order and consistency in order to achieve the desired outcomes. Kotter (1999) emphasizes that

¹³ Kotter, J.P., What Leaders Really Do, First Edition, Harvard Business School Press, 1999, p. 10.

¹⁴ ibid., pp. 18-19.

¹⁵ ibid., pp. 52-3.

major changes are necessary to survive and compete in today's environment and greater change always demands more leadership.¹⁶

The following table from Conger and Kanungo (1998) expands Kotter's (1996) essentials from Table 1 and further clarifies the distinction between management and leadership.¹⁷

Table 2. Distinction Between Leadership and Management

Management	Leadership
1. Engages in day-to-day activities: Maintains and allocates resources.	Formulates long-term objectives for reforming the system: Plans strategy and tactics.
2. Exhibits supervisor behavior: Acts to make others maintain standard job behavior.	Exhibits leading behavior: Acts to bring about change in other congruent with long-term objectives.
3. Administers sub-systems within organizations.	Innovates the entire organization.
4. Asks how and when to engage in standard practice.	Asks when and why to change standard practice.
5. Acts within established culture of the organization.	Creates vision and meaning for the organization and strives to transform culture.
6. Uses transactional influence: Induces compliance in manifest behavior using rewards, sanctions, and formal authority.	Uses transformational influence: Induces change in values, attitudes, and behavior using personal examples and expertise.
7. Relies on control strategies to get things done by subordinates.	Uses empowering strategies to make followers internalize values.
8. Supports the status quo and stabilizes the organization.	Challenges the status quo and creates change.

Source: From Conger and Kanungo (1998)

¹⁶ *ibid.*, p. 53.

¹⁷ Conger, J.A., and Kanungo, R.N., *opcit.*, p. 9.

Kotter (1996, 1999) and Conger and Kanungo (1998) show similarity in the distinction between leadership and management. Leadership is about the future direction and vision for the organization and it can be likened to a path of discovery. Leadership is considered to be more conceptual than management and requires individuals to think deeply about the future direction of the organization. This conceptual thinking takes time and energy, and should incorporate a range of different opinions. Maxwell (1995) identifies common characteristics concerning thinking that applies to leaders. These features include thinking continuously and strategically, without boundaries, and considering the needs of others.¹⁸ In contrast, management is about achieving short-term goals, operating excellence, and maintaining order and predictability in relation to the status quo.

While Kotter and Maxwell are able to differentiate the functions of leadership and management, this is not always easy to achieve in practice. Leadership and managership are recognized as two distinct concepts. However, leaders and managers must understand that both functions are necessary for organizational success. Leadership helps to set the strategic direction and leaders act as change agents to realize the vision. Managership helps the organization to execute the current business plan and deliver the required results. Another key distinction between leaders and managers is the quality of interactions with their people. Leaders inspire, energize and motivate their people whereas managers help people achieve their more basic needs.

D. LEADERSHIP TAXONOMY

As leadership theory has developed and the body of knowledge for the discipline has expanded, it has become useful to sort or group the different theories or models into a general classification or taxonomy. The most prevalent approach is to build the taxonomy based on the sequential evolution of leadership theory. Bass (1981) and Chemers (1997) among others have used this approach. This methodology is useful in that it allows an ordered and progressive assessment of the different theories. This taxonomy identifies the following five categories:

1. Early theories based on personal traits or characteristics.

¹⁸ Maxwell, J.C., *opcit.*, 1995, pp. 205-7.

2. Leadership styles (authoritative versus democratic, directive versus participative, task versus relation-oriented).
3. Transactional and transformational models.
4. Contemporary cognitive and change models.
5. Recent integrative leadership models.

The first leadership studies concentrated on personal traits and characteristics and were formulated around the time that management theory and science were being established. The initial leadership theories originated in the early 1900s, and predominantly examined the personal traits that made leaders successful. Leadership thinking was dominated by theories based on personal characteristics until about the 1950s. Different leadership styles were postulated in the early 1950s and this was the first divergence in leadership theory. In the 1970s, transactional and transformational theories were postulated and developed. These theories were widely accepted because they were able to explain dimensions of leadership for which the previous theories were not suited such as the interaction between the leader and the follower. In the last two decades, leadership theory has evolved further with greater emphasis on the leader as a change agent and cognitive leadership models. Recently more integrative models have been proposed to cover the wide range of contemporary issues in the workplace.

Examination of these leadership theories reveals that subsequent models extend the principles of earlier constructs. While newer theories provide greater clarity to the concept of leadership, the new ideas are clearly related to previous work. As new insights about personal characteristics have been discovered, this information is incorporated into the body of knowledge. The overlap between the different models indicates that to consider each model as a discrete entity may be a misleading notion. The taxonomy should be capable of recognizing the major contributions of each theory to the overall body of knowledge and provide a reference point for understanding, further analysis and application.

Terry (1993) presents an alternative approach by classifying leadership models into two broad groups.¹⁹ The first group contains traditional leadership models and includes personal, team, and positional or functional constructs. The second group contains three provocative views that include political leadership, visionary leadership and ethical leadership. The latter group represents some of the contemporary leadership ideas. The advantage of this contemporary approach is that it shows that leadership is a multi-dimensional discipline that interacts on a number of different levels. Furthermore, this classification also makes a distinction between widely accepted (“traditional views”) and the emerging or contemporary thinking about leadership. Leadership knowledge and understanding is enhanced as the key tenets of emerging models are integrated into the accepted theories, creating more comprehensive models. It is also noted that many contemporary authors do not attempt to classify their thinking about leadership into a broader taxonomy. The treatment of contemporary leadership issues is centered on addressing perceived deficiencies in current leadership practices. A recent example is the focus on managing diversity as a core leadership issue. Hesselbein (2002) refers to managing diversity as a concept of equal access.²⁰ The principle of equal access is that the contribution of all individuals is respected and valued within the organization, and not just a select few. Successful organizations will establish and maintain a vision of a diverse future that embraces inclusion and cohesion, and promotes relevance to the community that it serves.²¹

A final aspect of the leadership taxonomies is that these classifications will change as new ideas are proven, accepted, and integrated into leadership practice. This process is likened to a search for excellence in the knowledge, understanding and application of leadership. Figure 1 shows a representation of the leadership taxonomy. This diagram captures the changing dimensions of leadership, where more recent theories have built on the previous leadership knowledge. The apex of the triangle represents the “avant-garde” or cutting edge thinking in regards to leadership. The apex is supported by: (1) the knowledge and theory of leadership – left hand side; and (2) the current and

¹⁹ Terry, R.W., opcit., p. 16.

²⁰ Hesselbein, F., opcit., p. 20.

²¹ ibid., p. 120.

emerging issues – right hand side. The dotted lines show the flow of knowledge and ideas between the different elements of the taxonomy. The accepted body of knowledge underpins contemporary leadership practices, and consists of the five areas identified in the taxonomy. The evolving or emerging leadership issues complement the knowledge of leadership and help to shape the future direction of leadership. These current issues can either be generated in response to a deficiency in the accepted body of knowledge or in response to an external pressure from the organization's environment such as diversity. These emerging ideas are analyzed and incorporated into leadership thinking, thereby expanding the body of knowledge or left hand portion of the triangle. This taxonomy process is ongoing and recognizes leadership evolution in terms of a chronological development combined with a distinction between traditional and provocative leadership views.

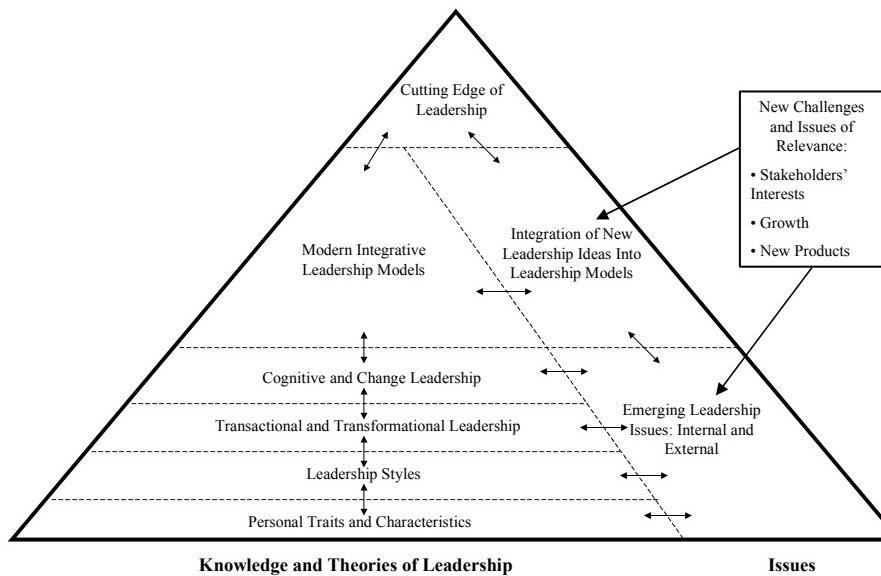


Figure 1. Leadership Taxonomy

This taxonomy allows new issues to be analyzed and assimilated into leadership paradigms. An important aspect of this taxonomy is the two-way flow of ideas and issues between accepted practice and emerging thinking. This exchange is vital for the growth

in leadership knowledge. It is also noted that these new issues are not confined solely to leadership and management disciplines and can be features of other social science and human concerns that should be addressed by leadership. Leadership paradigms are expanding and are used to examine and resolve a variety of emerging issues. Further examination of the main theories of the leadership taxonomy is useful before comparing the different models. This overview describes the main features of the more popular theories that are prevalent in leadership literature.

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III. LEADERSHIP MODELS

A. PERSONAL TRAITS AND CHARACTERISTICS

Early leadership concentrated on the qualities that made a leader great. These theories centered on the leader's individual characteristics or traits. It was thought that by isolating these talents or attributes that contributed to the leader's performance, other leaders could replicate these features to improve their own leadership ability. The study of personal attributes has remained popular in leadership research. Bass (1990) notes that the quest to determine these attributes could be encapsulated into two research questions: what traits distinguish leaders from other people; and what is the extent of these differences.²²

Empirical studies of leader characteristics were undertaken extensively throughout the 20th Century, attempting to measure a wide range of variables, both objective (personal measurements) and subjective (perceptions). While these studies were voluminous and popular, some of the measurements (such as age, height and weight) have questionable explanatory value in relation to leadership. Bass (1990) notes that these early studies could categorize leadership factors into six broad groups:

- capacity (intelligence, originality, judgment);
- achievement (scholarship, knowledge);
- responsibility (initiative, confidence, desire to excel);
- participation (cooperation, humor, adaptability);
- status (position, popularity); and
- situation (mental level, needs and interests of followers, objectives).²³

Two important points should be noted from this observation. Firstly, these six personal leadership attributes or groups are still used to describe leaders today. While the terms may have changed, the essence of these factors is still prevalent. Secondly, it was recognized that these personal characteristics could vary according to the situation.

²² Bass, B.M., opcit., p. 38.

²³ ibid., p. 76.

While the trait theorists and the situational leadership theorists are viewed differently, there is recognition of the need for leaders to adapt to changing circumstances.

Some recent leadership experts have continued to develop lists of personal attributes or qualities of a leader. Kouzes and Posner (1987), in a study of over 1500 managers, note four key leadership qualities: honest, competent, forward-looking and inspiring.²⁴ There is similarity between authors, although there is no universal agreement on a core range of attributes. Bennis (1994) identifies six basic ingredients for leaders and these include:

- guiding vision;
- passion;
- integrity (which encompasses knowledge, candor and maturity);
- trust;
- curiosity; and
- daring.²⁵

Bennis (1994) notes that these traits are not the ones that people are born with but the ones that can be changed. This is consistent with the rationale that leaders are made and are largely self-invented.²⁶ Maxwell (1999) provides a more expansive list of 21 qualities, with courage, generosity, servanthood and teachability being attributes that are unique to other lists. Maxwell's list of qualities is as follows:

- character;
- charisma;
- commitment;
- communication;
- competence;
- courage;
- discernment;
- focus;

²⁴ Anderson, T.D., Transforming Leadership: Equipping Yourself And Coaching Others To Build The Leadership Organization, Second Edition, St. Lucie Press, 1998, p. 53.

²⁵ Bennis, W.G., opcit., pp. 39-42.

²⁶ ibid., p. 42.

- generosity;
- initiative;
- listening;
- passion;
- positive attitude;
- problem solving;
- relationships;
- responsibility;
- security;
- self-discipline;
- servanthood;
- teachability; and
- vision.²⁷

Psychological Profiling and Psychoanalytical Theories. Psychological profiling through instruments such as the Myers-Briggs Type Indicator and similar tests that help to assess an individual's preferences have been an important tool in identifying leadership ability. These profiles attempt to identify innate preferences and generalizations about leadership capacity that can be inferred from an individual's personality type. These instruments are popular and provide insight into an individual's leadership potential. They are helpful in enabling the individual to understand him or herself better. The organization can also use the information as a supplementary tool to infer leadership potential. While these tests should not be used in isolation, they can be used to help identify an individual's strengths and weaknesses.

Sigmund Freud introduced psychoanalytical theories in the 1920s that gained wide popularity in subsequent years. A central tenet of Freud's theory is that the father of the family defined the leader's psychological environment. Further studies (Freud and Bullitt (1932) and Wolman (1971)) have expanded on the father figure interpretation. Bass (1990) notes that strong mothers or absent fathers have also figured strongly in the development of leaders such as Franklin Delano Roosevelt and Douglas MacArthur.²⁸

²⁷ Maxwell, J.C., opcit., 1999, pp. v-vi.

²⁸ Bass, B.M., ibid., p. 41.

Bass (1990) notes that much of the psychoanalytical theorizing about leadership attempted to explain the leader's political behavior from early childhood and family development.²⁹ These theories support the notion that an individual is a product of their environment and recognize the influence of family role models.

Emotional Intelligence. The concept of emotional intelligence has received increasing attention since the publication of Goleman's book titled "Emotional Intelligence" in 1995. The concept of emotional intelligence is based in the science of psychology and its origins can be traced back over 60 years into the late 1930s and early 1940s.³⁰ It has been described as a form of social intelligence that involves the ability to monitor one's own and others' feelings and emotions, to discriminate among them, and to use this information to guide one's own thinking and action.³¹ Emotional intelligence has become popular in the last decade because the concept is seen as a means to develop a more complete individual. This concept considers that individuals develop their intellect through both cognitive and emotional learning throughout their life. As the emotional intelligence competency sets draw on a broader range of personal and social attributes, the development of these characteristics may help to create more effective leaders.

Goleman provides a framework of social and emotional abilities that define emotional intelligence in terms of personal and social competency sets. This framework attempts to provide a comprehensive view of a person's characteristics or qualities. The personal and social competencies are interdependent and are related in terms of own and others' emotions. People with strong emotional intelligence display many of these attributes. The personal and social competency sets can be seen in Table 3.

²⁹ ibid.

³⁰ Cherniss, C., Emotional Intelligence: What it is and Why it Matters, Graduate School of Applied and Professional Psychology, Rutgers University, Paper presented at the Annual Meeting of the Society for Industrial and Organizational Psychology, New Orleans, April 15, 2000, p. 1.

³¹ ibid. From the work completed by Salovey and Mayer, 1990 – "Emotional Intelligence. Imagination, cognition and personality".

Table 3. Emotional Intelligence – Personal and Social Competencies

Personal Competence	Social Competence
Self Awareness	Social Awareness
Emotional Awareness. Recognizing one's emotions and their effects.	Empathy. Sensing others' feelings and perspective, and taking an active interest in their concerns.
Accurate Self-Assessment. Knowing one's strengths and weaknesses.	Service Orientation. Anticipating, recognizing and meeting customers' needs.
Self-Confidence. Sureness about one's worth and capabilities.	Developing Others. Sensing what other need in order to develop, and bolstering their abilities.
Self-Regulation	Leveraging Diversity. Cultivating opportunities through diverse people.
Self-Control. Managing disruptive emotions and impulses.	Political Awareness. Reading a group's emotional currents and power relationships.
Trustworthiness. Managing standards of honesty and integrity.	
Conscientiousness. Taking responsibility for personal performance.	
Adaptability. Flexibility in handling change.	
Innovativeness. Being comfortable with and open to novel ideas and new information.	
Self-Motivation	Social Skills
Achievement Drive. Striving to improve or meet a standard of excellence.	Influence. Wielding effective tactics for persuasion.
Commitment. Aligning with the goals of the group or organization.	Communication. Sending clear and convincing messages.
Initiative. Readiness to act on opportunities.	Leadership. Inspiring and guiding groups and people.
Optimism. Persistence in pursuing goals despite obstacles and setbacks.	Change Catalyst. Initiating and managing change.
	Conflict Management. Negotiating and resolving disagreements.
	Building Bonds. Nurturing instrumental relationships.
	Collaboration and Cooperation. Working with others toward shared goals.
	Team Capabilities. Creating group synergy in pursuing collective goals.

Source: From Consortium for Research on Emotional Intelligence³²

³² The Consortium for Research on Emotional Intelligence in Organizations, [The Emotional Competence Framework](#), www.eiconsortium.org.

The emotional intelligence concept has recently been expanded into the resonant leadership model, which highlights the relationship between the leader and the follower. Further work by Goleman et al. (2002) highlights four emotional intelligence domains – self-awareness, self-management, social awareness and relationship management - as a critical set of skills of resonant leadership.³³ The main advantage of Goleman's work is that it highlights the need for critical *introspection* about the leader's personal qualities, strengths and areas to be strengthened.

Critical Introspection. The concept of critical introspection is an important aspect for leaders at all levels. Ideas of self-awareness are not new. Bennis (1994) refers to this concept as 'know thyself', which means separating who you are and who you want to be from what the world thinks you are and wants you to be.³⁴ Furthermore, Bennis notes that self-knowledge and self-invention are lifetime processes.³⁵ Leaders must be committed to learning and improving themselves. Leider (1996) notes that increased self-awareness and self-leadership is critical for a leader's personal development.³⁶ Critical introspection is a central component of Covey's Principle Centered Leadership Paradigm. Critical introspection is more than understanding your personal qualities and relative strengths; it is also about defining leadership on your terms. Hesselbein (2002) states:

When I was CEO of the Girl Guides of the USA, I knew I had to define leadership on my own terms and in my own language, in ways that would define who I was, why I did what I did, that would communicate and embody the heart, the spirit of the leadership that I was called to provide. After long, difficult introspection, I developed my own definition: leadership is a matter of how to be, not how to do it.³⁷

Recently, developmental tools have been used to help leaders appraise their leadership effectiveness. Anderson's (1998) self-assessment tool, Leadership-Skills

³³ Goleman, D., Boyatzis, R.E., and McKee, A., Primal Leadership – Realizing The Power Of Emotional Intelligence, First Edition, Harvard Business School Press, 2002, p. 30.

³⁴ Bennis, W.G., opcit., p. 54.

³⁵ ibid., p. 55.

³⁶ Leider, R.J., "The Ultimate Leadership Task", from Hesselbein, F., Goldsmith, M., and Beckhard, R., (Eds.), The Leader Of The Future – New Visions, Strategies, And Practices For The Next Era, First Edition, Jossey-Bass, 1996, pp. 189 – 198.

³⁷ Hesselbein, opcit., p. 3.

Inventory (LSI) examines 56 of the skills commonly used by effective leaders, and that account for a significant amount of their success.³⁸ The LSI skills are grouped into five areas: (1) personal mastery; (2) interpersonal communication; (3) counseling and problem management; (4) team and organizational development; and (5) versatility. Many organizations use multi-rater systems such as 360-degree feedback to assess their own performance. Multi-rater systems typically involve a self-rating and rating from the individual's superiors, peers, subordinates, and sometimes customers. Charan et al. (2001) note that 360-degree feedback can provide useful information about performance and should become an integral part of the leadership coaching process.³⁹ Conger and Benjamin (1999) note that the use of 360-degree feedback systems is becoming more popular in leadership development programs.⁴⁰ Individuals who use 360-degree feedback systems need to use the information as part of their personal introspection process.

Summary of Personal Traits and Characteristics. The theories outlined in this section represent a small sample of the range and variety of measures that have been used to view leadership characteristics. These factors are important because leaders are assessed on the qualities that they exhibit. It is critical that leaders have a high level of self-knowledge about their own leadership traits and characteristics. As leadership relies on human factors, the desire to understand the factors that contribute to good leadership is appreciated. It is likely that further studies will continue to examine the personal traits and characteristics of leaders. Therefore, leadership development strategies should aim to reinforce an individual's leadership strengths and reduce personal weaknesses.

B. LEADERSHIP STYLES

Different leadership styles have been identified, as a way of explaining how the leader operates and achieves desired outcomes. The use of different leadership styles to explain discrete leadership behavior became popular during the middle of the 20th

³⁸ Anderson, T.A., opcit., p. 25.

³⁹ Charan, R., Drotter, S.J., and Noel, J.L., The Leadership Pipeline – How To Build The Leadership-Powered Company, First Edition, Jossey-Bass, 2001, p. 141.

⁴⁰ Conger, J.A., and Benjamin, B., Building Leaders: How Successful Companies Develop The Next Generation, First Edition, Jossey-Bass, 1999, p. 39.

Century. The analysis and recognition of different leadership styles is a product of the previous work focusing on personal traits and characteristics. Many of these styles are constructed in a dualistic form, where two leadership styles are contrasted. This approach gives a sense of a spectrum between each of the extremes. There is overlap between the different styles. Especially in the later research, it is recognized that no single leadership style is best for all circumstances and the approach will need to vary according to the situation.

Authoritative Versus Democratic Leadership. Leaders who are described as authoritarian or autocratic are often concerned with results and focused on short-term goals. Bass (1990) draws on the work of Lewin and Lippitt (1938), Nelson (1950), McGregor (1960), Blake and Mouton (1964) and Vroom and Yetton (1973), in describing the key features of the authoritative and democratic styles. They are likely to be lone decision makers taking responsibility for their actions and using their powers of coercion and persuasion. In certain circumstances, authoritarian leadership yields good results. However, this focus on production goals is often at the expense of the group's needs and this style may be inappropriate for long-term growth.

Democratic leadership involves others in decision-making processes. Unlike the authoritarian leader, consultative and democratic processes seek views from others in the group. Bass (1990) notes that democratic leaders use their power to set the constraints within which the followers are encouraged to join in deciding what is to be done.⁴¹ One of the main advantages identified with democratic leadership is that it promotes loyalty and commitment in the long run.

Directive Versus Participative Leadership. Directive leadership implies that the leader takes an active role in problem solving and decision-making, and expects group members to be guided by his or her decisions.⁴² Directive leaders can use different strategies including reason, logic and persuasion to gain acceptance of their goals. It is likely that the directive leader will make his or her decision without consulting others either because they believe that they have all the information or time pressure prevents

⁴¹ Bass, B.M., opcit., p. 417.

⁴² ibid., p. 436.

discussion. Directive leaders use rewards or exert pressure to gain acceptance for their actions. Bass (1990) summarizes the work of Tannenbaum and Schmidt (1958), Hersey and Blanchard (1969), Sadler and Hofstede (1972) and Vroom and Yetton (1973) among others in outlining the key features of these two leadership styles.

The participative leader involves subordinates in discussions, problem-solving and decision-making processes. This consultation can occur either individually or as a group, and results in increased autonomy of workers, power sharing, information sharing and due process. However, the participative leader is still responsible for the final decision and Bass (1990) notes that the leader remains an active member among equals.⁴³ Participation is indicated when the subordinates' acceptance, satisfaction, and commitment are important and when subordinates have the required information.⁴⁴

Task Versus Relation-Oriented Leadership. Task-oriented leaders are concerned with the group's achievement of goals. These leaders concentrate on performance as the most important outcome and productivity is highly valued. Such leaders may have high expectations and use various control mechanisms and supervisory layers to ensure that the task is completed satisfactorily. Task-oriented leaders may be psychologically removed from their subordinates. Bass (1990) notes that the exclusively task-oriented leader is seen to treat employees as machines, to the detriment of their commitment, growth, and morale.⁴⁵ Bass (1990) further notes that task-oriented leadership can be the source of expert advice and challenging motivation for subordinates.⁴⁶

Relation-oriented leaders place more concern on building effective relationships and workplace rapport throughout the group. The need for group maintenance is very important. The workplace is expected to provide encouragement and mutual support to ensure that the goals are achieved. Relation-oriented leadership is likely to contribute to the development of followers and to more mature relationships.⁴⁷ This may be more

⁴³ ibid., p. 437.

⁴⁴ ibid., p. 471.

⁴⁵ ibid., p. 474.

⁴⁶ ibid.

⁴⁷ ibid.

beneficial in the long run. In comparing these two styles Bass (1990) draws on the work of Reddin (1977), Hersey and Blanchard (1981), Birnbrauer and Tyson (1984) and Misumi (1985). Blake and Mouton (1964) argued that maximum leadership only occurs when the leader, both highly concerned for production and highly concerned for people, integrates the human and task requirements of the job.⁴⁸ Fielder's Contingency Theory (1967) highlights that the effectiveness of task-oriented and relations-oriented leaders is contingent on the demands of the situation.⁴⁹

Laissez-faire Leadership Versus Motivation to Lead. Laissez-faire leadership occurs when leaders give group members complete freedom of action, provide them with resources, and do not become actively involved in problem solving or evaluation. This style of leadership should not be confused with democratic, relations-oriented or participative leadership.⁵⁰ While laissez-faire promotes relative freedom, it is not conducive to group cohesion and productivity and satisfaction suffers under this leadership style. Laissez-faire leadership is a passive style and Lewin, Lippitt and White (1939) were the first researchers to develop an understanding of this style.⁵¹

Motivation to lead is described as an active style of leadership. Active leaders promote greater satisfaction and productivity among their subordinates. The active leader can use a combination of methods such as direction and participation to achieve the goal. The involvement of subordinates is a critical aspect of this leadership style. Leaders are expected to show high energy levels and desire to improve the group and the organization.

Situational Leadership. Situational leadership models arose from the deficiencies of trait and personal characteristic theories to explain leadership phenomena. Situational leadership is linked to systems theory and attempts to consider the totality of the entity. Accurate assessment of the environment is critical for situational leadership to be successful. Hersey and Blanchard's (1969) situational leadership model is built on previous leadership research. Bass (1990) notes that this model is based on:

⁴⁸ ibid.

⁴⁹ ibid., p. 46.

⁵⁰ ibid., p. 545.

⁵¹ Ibid.

- Leadership styles vary from leader to leader (Stogdill and Dill, 1957).
- Some leaders' behavior involves initiating structure to accomplish tasks, other leaders behave to build and maintain good personal relationships, and still others do both or do neither (Haplin, 1956).
- The most effective behavioral style of leaders is one that varies with the situation (Fiedler, 1967; Korman, 1966).
- The best attitudinal style is a high-task and a high relations orientation (Blake and Mouton, 1964).
- The job and psychological maturity of the followers is most crucial in determining which behavioral style of leaders will result in the most effectiveness (Argyris, 1962).
- Maturity relates to the stage in a group's life cycle or to the previous education and training of the followers.⁵²

In essence, situational leadership theories are based on the premise that the leadership style will vary according to the situation prevailing. While it is more usual for theories to suggest that different situations will require changes in the leadership approach, it is also possible for leadership to change the situation. An effective leader should be able to modify his or her approach leadership style to match the present situation and then use their talents to influence the future environment.

Hersey and Blanchard's Situational Leadership Model and Fiedler Contingency's Model provided the foundation for much of the leadership research conducted during the 1970s (Vroom and Yetton, 1973; Schriesheim and Kerr, 1974; Hosking, 1978). Bass (1990) notes that situational leadership research has been conducted in the military. Examples include James and White's study (1983) on the US Navy Officers and Fiedler, Bons and Hastings's study (1975) of non-commissioned squad leaders.

More Recent Leadership Styles. Goleman et al. (2002) identify six leadership styles. These styles are visionary, coaching, affiliative, democratic, pacesetting and commanding.⁵³ Goleman et al. (2002) note that most effective leaders act according to one or more of the six distinct approaches to leadership and skillfully switch between the various styles depending on the situation.⁵⁴ This concept is similar to the earlier

⁵² ibid., p. 488.

⁵³ Goleman, D., Boyatzis, R.E., and McKee, A., opcit., p. 55.

⁵⁴ ibid., p. 53.

situational leadership styles. They further note that four of the styles (visionary, coaching, affiliative and democratic) create resonance that boosts performance while the other two styles of pacesetting and commanding should be applied with caution.⁵⁵ The pacesetting style is exemplified by the leader's high standards and demands for high performance, and should only be applied sparingly and restricted to settings where it has a high chance of success.⁵⁶ The commanding style should only be applied in crisis situations to achieve short-term outcomes that demand swift and decisive action, or to deal with problem employees.

Summary. The different styles of leadership have been presented in a dualistic form. These different styles can be clustered together and as with personal trait leadership theories, there is a high degree of overlap between the different styles. It is unlikely that leaders will operate at the extremes of these styles, however it is important to recognize that leaders will move between these dichotomous states.

C. TRANSACTIONAL LEADERSHIP

The underlying principle of transactional leadership is that there is an exchange between the leader and the follower. The exchange usually takes the form of the follower providing services (such as labor) to the leader in exchange for a reward. The exchange should be mutually beneficial to both parties and the agreement entered into willingly and in good faith. This concept developed from other social sciences, and it assumes that rational behavior is present and that a social exchange occurs between individuals.

Early transactional theories started to emerge in the 1960s. However, it was not until the early 1970s that transactional models were widely accepted. Chemers (1997) identifies three important early transactional theories of note. First, Homans' Theory of Elementary Social Behavior builds on the concept of social exchanges between individuals and seeks to explain that these exchanges are designed to maximize rewards and minimize costs. The principle of distributive justice is also aligned with this model to describe the need for a fair exchange to occur. In establishing these exchanges,

⁵⁵ ibid.

⁵⁶ ibid., p. 72.

Homans suggests that individuals will have different reward-cost structures and that they are aware of the relative fairness in such exchanges.

The second early theory is Thibaut and Kelley's Theory of Independence, which integrates social psychological principles both as determinants of social reward value and as outcomes of social exchange.⁵⁷ This theory explains why individuals choose to interact and introduces the concept of values and goals within the group. Chemers (1997) also notes that good leadership would entail fostering an atmosphere in which individual and collective goals are compatible and mutually reinforcing.⁵⁸ This theory also considers the effect of power on relationships and the achievement of goals.

The third theory, equity theory was originally designed to explain motivation. However, the theory was extended to leadership theory to explain the assessment of the fairness of exchanges. J.S. Adams (1963) notes that members judge the equity of their costs and benefits in comparison to the costs and benefits of others who they view as similar to themselves.⁵⁹ Equity theory states that individuals will vary their inputs and outcomes relative to others in an attempt to achieve perceived fairness. In applying this model to leadership, an individual's commitment to a job is related to the fairness of the exchange.

Chemers (1997) also identifies two recent prominent transactional leadership theories: Hollander's Idiosyncrasy Credit Model and Graen's Vertical Dyadic Linkage Model. In Hollander's model, a central theme is that leadership is a dynamic process that involves continual interpersonal evaluation by leaders and followers.⁶⁰ The leader gains or earns legitimacy through the concept of idiosyncrasy credit. As leaders earn credits (through competence, trust, support) from their followers, this gives them the opportunity to innovate and introduce new strategies. If these are successful, then more credits are earned. Likewise, followers can earn credits, for work performance and implementing new ideas. This theory shows that leadership is a process of give and take underpinned by the concept that the exchange between the leader and follower is fair.

⁵⁷ Chemers, M.M., opcit., p. 62.

⁵⁸ ibid., p. 63.

⁵⁹ Bass, B.M., opcit., p. 333.

⁶⁰ Chemers, M.M., ibid., p. 65.

Graen's Dyadic Linkage Model seeks to explain the superior-subordinate dyad that develops in working relationships. Chemers (1997) notes that the vertical dyadic linkage model holds that a leader and subordinates go through a role-making process in which they negotiate the terms of collaboration.⁶¹ This is particularly important in unstructured or informal tasks where job definitions and standard definitions may not apply. Exchanges can be highly differentiated within the organization. There may also be a variety of exchange options available and the idea is to find the best solution to maximize the follower's loyalty, contribution and ingenuity. While this theory concentrates on the dyadic relationship between leader and follower, it has been recognized that group analysis is also important to consider both in-group and out-group effects on individuals and whether relative fairness is achieved.

Transactional leadership models try to explain the leader-follower relationships as processes of influence, motivation and control. The use of rewards and punishments are central to these processes and operate to condition the expected performance. These theories support the concept that behavior can be modified through rewards and punishments. Goal-setting techniques have proven to be more useful than a system of rewards and punishments. Bass (1990) notes that the leader can establish a "contract" or exchange with the subordinates by setting goals.⁶² Goal setting is embodied in the 'management by objectives' approach (Hersey, Blanchard and Hambleton (1980)) that was popular in the 1980s.⁶³ Goal setting is more effective when the goals are developed cooperatively and the subordinate has a sense of ownership as opposed to assigned goals. While goal setting is a valid technique, self-management has become more popular. The concept of self-management builds on the ideas of personal awareness and that the individual is able to manage their own needs. Self-management involves the individual being more responsible for goals and the respective rewards.

Bass (1990) notes two main characteristics associated with transactional leadership: contingent reward and management by exception. Contingent reward implies that the reward should match the outcome achieved and it should be consistently applied.

⁶¹ ibid., p. 66.

⁶² Bass, B.M., opcit., p. 327.

⁶³ Chemers, M.M., opcit., p. 56.

The reward scale should be established so that the notion of fairness can be recognized. Both leaders and followers should accept the inherent quality of the reward system. Management by exception allows leaders to take action for exceptional performance that is either excellent or sub-standard. It is important to note that the scale extends in both directions as opposed to concentrating only on things that go wrong. Thus, an important feature of transactional leadership is that it recognizes that exceptional positive and negative outcomes can occur.

Summary. Transactional leadership theories attempt to explain the relationships between leaders and followers. These models add the concept of exchange to the analysis of the leader's personal characteristics and leadership styles. Exchanges should be equitable and the relationships between leaders and followers should be defined. It is not always easy to define these relationships in less structured environments. Goal setting and self-management strategies are a product of transactional leadership models.

D. TRANSFORMATIONAL LEADERSHIP

Transformational leadership theory is linked to the seminal work on leadership by Burns as well as House's early work on charismatic leadership. It builds on the transactional theories and provides a more comprehensive view of leadership. While transactional models are adequate for addressing an individual's basic needs, Burns (1978) notes that the transformational leader also recognizes the need to satisfy a potential follower's higher order needs (in terms of Maslow's hierarchy (1954)) in order to engage the full person. Bass (1990) notes that transforming leadership results in mutual stimulation and elevation that converts followers into leaders and may convert leaders into moral agents.⁶⁴ This is a powerful concept and infers that potential gains for both the individual and the organization are greater than for purely transactional exchanges. Bass (1990) further notes that if the follower's higher-level needs are authentic, more leadership occurs.⁶⁵ Transformational leadership recognizes that leadership is more than exchanges.

⁶⁴ Bass, B.M., opcit., p. 23.

⁶⁵ ibid.

Another useful distinction between transactional and transformational leaders involves the types of leaders associated with each category. Burns classifies transactional leaders as bargainers, party leaders, or executives whereas transformational leaders are leaders of reform, intellectual leaders, heroes or ideologues.⁶⁶ Burns' classification of transactional and transformational leaders shows the roles that leaders fulfill. Leaders can exhibit either transactional or transformational behavior, and can even move between the two categories. Therefore, leaders should not be considered as belonging to a single category. While Burns' view was that leaders are either transactional or transformational, this paradigm has been modified by Bass (1990) who asserts that transformational leadership augments the effects of transactional leadership on the efforts, satisfaction and effectiveness of subordinates.⁶⁷

House's theory of charismatic leadership attempts to identify the effects of charismatic leaders on their followers. House was able to categorize elements of charismatic leadership into three groups: personal characteristics; behaviors; and situational determinants.⁶⁸ Personal characteristics of self-confidence, dominance, and a strong conviction of moral righteousness are prevalent among charismatic leaders. This theory also highlights the importance of a guiding vision to the leaders and the followers, and this provides a powerful motivation, particularly when stress is prevalent. Gandhi and Martin Luther King are examples of charismatic leaders. This theory, combined with Burns' work, laid the foundation for further research on transformational leadership in the 1980s.

Conger and Kanungo's Behavioral Theory proposes that charisma could be explained in terms of behavior. While this theory has some similarity with House's work, charisma is seen as a function of four variables: the difference between the present and the new state; the use of innovative and unconventional means to achieve the change; the leader's success in assessing the environment; and how the vision is articulated and used to inspire others.⁶⁹ This theory emphasizes that the leader must be credible and that

⁶⁶ ibid.

⁶⁷ ibid., p. 53.

⁶⁸ Chemers, M.M., opcit., p. 80.

⁶⁹ ibid., p. 85.

communication is a key competency in achieving the change. This behavioral model builds on the transactional leadership theories.

Bass (1985) identifies four main characteristics associated with transformational leadership: charisma, inspirational motivation, intellectual simulation and individualized consideration. Charisma (idealized influence) reflects follower perceptions that the leader is extremely trustworthy and is capable of achieving an important vision.⁷⁰ The concept of charisma features heavily in transformational leadership theory and it is considered to be a critical component. Inspirational motivation is related to charisma, however it implies that the leader's vision motivates and inspires his or her followers. The articulation of the vision must capture the imagination of the followers and this is likely to enhance the likelihood of success. Intellectual stimulation encourages followers to think about the problems in new ways and encourages them to ask questions and explore possible boundaries. In this regard transformational leadership builds on the concepts of participative leadership by involving followers in the achieving the vision. It recognizes that the leader does not possess all the answers. The final aspect of individualized consideration is important to the development of the working relationship between the leader and the followers. This can be achieved through formal and informal means and can be extended into a mentoring arrangement. The use of individualized consideration recognizes that people are different and may need to be treated differently to maximize their contribution.

Summary. Transformational leadership theories build on the transactional models, and the earlier work done on personal traits and leadership styles. The concepts of charisma and vision are important and the transformational theories recognize the importance of change as a part of leadership. Transformational leaders can be found at different levels and are not necessarily restricted to the top of the hierarchy.

E. COGNITIVE LEADERSHIP MODELS

Cognitive leadership models first appeared in the late 1970s, although the concepts have links to psychology from the late 1950s with the work done by Goffman

⁷⁰ ibid., p. 86.

(1959).⁷¹ Cognitive theories attempt to link cognitive psychology to previous leadership research. These theories have proven useful in understanding how a leader is perceived and in designing leadership development programs. Cognitive leadership theories about attribution, information processing and systems analysis have helped to complete some of the gaps in the body of knowledge about leadership. Chemers (1997) proposes two broad categories for cognitive theories: (1) perceptions by leaders about their followers; and (2) perceptions of leaders by followers and others.⁷²

Attribution theories predominantly relate to the first category of cognitive theories, which are perceptions by leaders about their followers. Chemers (1997) notes that attribution theory is concerned with the processes by which people assign causes to the interpersonal events that occur around them and this postulate can be traced back to Heider (1944).⁷³ In attribution theories, each leader and follower is seen to have his or her own implicit theory of leadership (Eden and Leviathan, 1975).⁷⁴ Recent works by Kelley (1973), Green and Mitchell (1979), Shaw and Costanzo (1982), and Brown (1984) have expanded knowledge about the interaction between leaders and followers. Therefore in order to understand the leader's behavior, it is important to assess the situation and appreciate the leader's performance. The interaction between leaders and followers is a critical leadership dynamic. Green and Mitchell (1979) explained that a leader's behavior relates to the leader's interpretation of a subordinate's performance.⁷⁵ A central concept of the attribution theories is that the leader makes judgments about subordinates, including their needs, abilities and level of motivation, and consequently, the leadership approach is modified to match this assessment.

While attribution theorists have contributed to the knowledge about leader-follower interactions, some researchers (Meindl, Ehrlich and Dukerich (1985) and Pfeffer (1977)) have shown that there is a tendency to attribute more of the cause than is

⁷¹ Bass, B.M., opcit., p. 49.

⁷² Chemers, M.M., opcit., p. 94.

⁷³ ibid., p. 95.

⁷⁴ Bass, B.M., opcit., p. 49.

⁷⁵ ibid., p. 50.

warranted to the subordinate rather than to the situational circumstances.⁷⁶ Attribution theories have added to the knowledge of leadership by improving the understanding of the effects of the leader-follower relationship.

In the second category of cognitive models relating to the perceptions of leaders, information processing models and open systems models are prevalent. Information processing models, which are based on the work by Newell and Simon (1972) and Lord (1976), are useful for considering the environment and its signals. The information-processing model uses inputs, processes, outputs and outcomes to explain system behavior. In the information-processing model, key tasks for the leader include problem definition and group orientation. Further work by Lord and Maher (1991) provides a model of leadership perception based on information processing in either a controlled manner or as an automatic response.⁷⁷ In a controlled manner, the leader processes information in rationally and logically, and draws on the individual's cognitive abilities. Automatic processing is less structured and does not require detailed consideration. Bass (1990) notes that social cues and symbols take on more importance for an understanding of leadership in the information processing approach.⁷⁸ The open systems approach builds on the information-processing model by considering the influence of the external environment and other factors that impact on the organization. These theories help to explain the multi-dimensional nature of modern leadership.

Chemers (1997) notes that the perceptions of leaders are integral to leader-follower interaction (Hollander, 1993).⁷⁹ Bias is a key issue to consider in the subordinates' perceptions of leaders. Chemers (1997) further notes that the view that perceptions of leadership processes are determined more by perceiver preconceptions than by objective reality is referred to as the "constructionist" approach.⁸⁰ The underlying premise of these constructionist approaches is that if followers see an

⁷⁶ ibid.

⁷⁷ Chemers, M.M., opcit., p. 102.

⁷⁸ Bass, B.M., opcit., p. 50.

⁷⁹ Chemers, M.M., opcit., p. 100.

⁸⁰ ibid.

individual as a leader, then resultant positive outcomes will be attributed to the leader and failures to other environmental or situational factors beyond the leader's control.

Chemers (1997) outlines three more radical cognitive theories: Calder's Attribution Theory (1977); Meindl's Romance Theory of Leadership (1990); and Dachler's Organismic-Evolutionary Perspective (1984, 1988).⁸¹ Calder concludes that leadership is ambiguous, difficult to measure and can only be inferred by events relating to behavior. Calder's attribute theory relates to the inferences and perceptions of leadership. Meindl develops a similar theme to that of Calder – in that it is easier to believe in leadership than to prove it.⁸² Meindl's work is critical of transformational and charismatic leadership theories as these are more in line with romantic distortions about the perceptions of the individual leader.⁸³ Dachler concentrates on group interactions and how leaders interact with group: leadership involves influencing subordinates in dyads or groups to work toward specific goals and organizational objectives.⁸⁴ Calder, Meindl and Dachler reinforce the notion that leadership is complex and that a better understanding of the relationship between leaders followers is needed. Calder, Meindl and Dachler suggest that critical analysis of the inferences and perceptions between leaders and followers is an important aspect to understanding leadership.

Summary. Cognitive leadership theories have expanded knowledge about leader-follower relationships. Perceptions form a central tenet of both attribution and constructionist theories. In attribution theories, the behavior of leaders and followers combined with their interaction can be used to explain the quality of the leadership and the derived outcomes. Aspects that cannot be attributed are explained away by situational factors. Information processing and systems models concentrate on understanding the different interactions in the organizational environment.

⁸¹ ibid., pp. 105-8.

⁸² ibid., p. 105.

⁸³ ibid., p. 107.

⁸⁴ ibid., p. 108.

F. LEADERSHIP AND THE ART OF CHANGE

Since the advent of transformational leadership theories, the concept of change has been prevalent in the leadership literature. Popular authors such as Kotter (1996), Quinn (1996), Bennis (1994), and Hesselbein (2002) have concentrated on change as a means of explaining the dilemmas facing modern leaders. The speed of change has increased over the past two decades and this has reduced the time available for leaders to react to new demands. Greater agility is expected of modern leaders. Indeed, if leaders do not respond to the new challenges, Quinn (1996) asserts that they and their organization will be faced with two options, either a slow death or a “deep change”. There is no middle ground between these options. Leaders must take responsibility for making the change occur and remaining committed to continual change.

The focus on change as a key tenet of leadership theory is not at the expense of the principles of the other leadership theories. In order for the leadership of change to be effective, leaders must know themselves, understand the application of different leadership styles to various circumstances and use the essential concepts of transactional and transformational theories. If these fundamentals are not considered, then it may be difficult to provide effective leadership to develop and sustain the required change initiatives. As with transformational leadership, leaders of change can occur at any level of the organization. This is central to Quinn’s belief that it is both individuals and organizations that are faced with the choice between slow death and deep change. Other leadership writers support this view.

The focus of the leadership change literature has been to describe change as a state of normality - that change will continue to persist. Change is characterized as large and rapid as opposed to slow, measured and incremental. With change, it is noted that subordinates and the organization will experience pain and it is the leader’s responsibility to minimize the suffering. Anderson (1998) notes that if leaders do not have the skills to be effective with their people, the change effort will likely be perceived as undesirable, and will be undermined and momentum for positive change will be lost.⁸⁵

⁸⁵ Anderson, T.D., opcit, p. 12.

Another key component of the change literature is that personal change is a precursor to organizational change. Leaders are required to undergo personal change so that they are ready to transform the organization. This is a difficult process and requires individual commitment to improve themselves as leaders. Much of the literature deals with strategies, concepts and dilemmas faced by leaders about to embark on the change process. The literature identifies different stages and steps involved with change but it is not overly prescriptive in the definitive action to be taken. This is part of the self-discovery process.

Change is considered as non-incremental and unpredictable. In order to deal with this increased uncertainty, leaders need to be positioned ahead of the change so that they can influence the impact on their organization. The leaders are the change agents. If leaders are not attuned to their environment and fail to see the signs, then it is possible that external factors will render the organization ineffective. The importance of leaders setting the vision and articulating it to others is a central tenet. Leaders should not be involved in the day-to-day operations as these can be delegated to managers and workers. The change literature emphasizes that leaders are not confined to the organization's hierarchy but rather are found at all levels.

Summary. The main contribution from the change leadership literature is the need for leaders to think deeply and critically about the situations that are faced by their respective organizations. This requirement is consistent with Maxwell's criteria for leaders. The concepts of change and leadership are closely related and this relationship is consistent with Kotter's beliefs about the differences between managers and leaders. An important facet of these theories is recognition that leaders exist at all levels and that these people can make a sizeable contribution to the organization's welfare.

G. THE SERVANT LEADER

The concept of serving others has started to reemerge in the recent leadership literature. Greenleaf first coined the term "servant-leadership" in 1970.⁸⁶ Other works notably De Pree's "Leadership Is An Art" (1989) and Spears' collection of essays

⁸⁶ Spears, L.C. (Ed.), The Power of Servant Leadership: Essays By Robert K. Greenleaf, First Edition, Berrett-Koehler Publishers, 1998, p. 3.

including work by Greenleaf, Senge, Rieser and McGee-Cooper, in “Reflections on Leadership” (1995), are acclaimed as references on the subject. Conger and Benjamin (1999) note that Greenleaf’s central premise is:

A new moral principle is emerging which holds that the only authority deserving one’s allegiance is that which is freely and knowingly granted by the led to the leader in response to, and in proportion to, the clearly evident servant stature of the leader. Those who choose to follow this principle will not casually accept the authority of existing institutions. Rather, they will freely respond to only individuals who are chosen as leaders because they are proven and trusted servants. To the extent that this principle prevails in the future, the only truly viable institutions will be those that are predominantly servant-led.⁸⁷

Conger and Benjamin (1999) further note that the servant-leadership model can be represented by turning the traditional hierarchical pyramid upside down thereby placing customers and employees at the top and the president and CEO at the bottom.⁸⁸

This notion of leadership is strongly held by public figures (notably political and religious leaders) and military leaders. Maxwell (1999) uses General Norman Schwarzkopf as an excellent example of a servant leader.⁸⁹ Maxwell (1999) further identifies five criteria for the true servant leader: puts others ahead of his own agenda, possesses the confidence to serve, initiates service to others, is not position-conscious and serves out of love.⁹⁰ Servant leadership is built on trust, selflessness and a keen desire to help others. There is similarity between this concept and the desirable personal qualities of leaders. The key tenet of servant leadership is for the leader to serve others, allowing others to reach their full potential and to help the organization grow as a synergistic community. The emphasis on leaders serving their subordinates is a central tenet of Jaworski (1999). If leaders fail to meet their followers’ expectations and needs, then it makes the achievement of the vision and organizational goals difficult.

Autry (2001) identifies five conditions to be a servant leader. A leader must satisfy all five conditions to fulfill the role of servant leader. These include being

⁸⁷ Conger, J.A., and Benjamin, B., opcit., p. 131.

⁸⁸ ibid.

⁸⁹ Maxwell, J.C., opcit., 1999, p. 134.

⁹⁰ ibid., pp. 136-7.

authentic, being vulnerable, being accepting, being present and being useful.⁹¹ These aspects are further defined as follows. Authentic implies consistency in how a leader performs so that others see the leader as being a real person. Learning plays a vital role in this concept. Vulnerable implies that leaders are honest with their feelings about work and are prepared to admit mistakes. Acceptance relates to the accepting of good ideas with the focus being on the concept and not the person who presented it. The notion of being able to accept disagreement is a critical part. The notions of being present and useful work together to ensure that the leader's effort are focused on serving others. Pollard (1996) notes that servant leaders provide an environment in which people can learn and grow as they work and share together.⁹²

Other leadership writers such as Covey (1992) and Hesselbein (2002) embrace the ideals of servant leadership. The concept of "leading beyond the walls", which has been popularized by the Drucker Foundation shows that servant leadership extends beyond the boundaries of the organization.⁹³ Hesselbein (2002) discusses how leaders can make a significant contribution in other parts of the community. This can only happen if leaders embrace the concept of servant leadership. Astute leaders recognize that there are benefits in showing a caring and responsible attitude to the wider community.

Summary. Servant-leadership models are important in current leadership theory. Greenleaf's concept of servant-leadership has been developed by many contemporary leadership experts and has provided alternatives to more traditional approaches including hierarchical command and control structures. The central concept is that the leader exists to serve others, and that the leader's position and personal agenda are relatively unimportant. There is consistency in the recent servant leadership writing by Maxwell, Autry and Hesselbein.

⁹¹ Autry, J.A., The Servant Leader – How To Build A Creative Team, Develop Great Morale, And Improve Bottom-Line Performance, First Edition, Prima Publishing, 2001, p. 10.

⁹² Pollard, C.W., "The Leader Who Serves", from Hesselbein, F., Goldsmith, M., and Beckhard, R., (Eds.), The Leader Of The Future – New Visions, Strategies, And Practices For The Next Era, First Edition, Jossey-Bass, 1996, p. 246.

⁹³ F. Hesselbein, opcit., p. 127. The idea of "Leading Beyond The Walls" is the title of a book published by the Drucker Foundation in 1999.

H. INTEGRATIVE LEADERSHIP MODELS

Recently, there has been an effort to develop more integrated leadership models to incorporate the different leadership theories and models. There have been two broad approaches for developing more comprehensive leadership models. The first approach has been to integrate new concepts into the existing leadership paradigms. The second method has been to propose more comprehensive leadership models that reflect the complex array of interactions between leaders, followers and their organizations. These integrated models will continue to develop as the body of knowledge on leadership and related disciplines expands. This integration is consistent with the taxonomy presented earlier in the paper. A good example is the current treatment of diversity as a leadership issue. Integrative theories have started to emerge with the inclusion of diversity as a core leadership factor. Diversity concerns have been integrated into leadership theories and models as opposed to creating a new set of models. This approach has been adopted by a variety of authors including Morrison (1992), Cox (1994) and Harvey and Allard (2002). By incorporating diversity as a central leadership issue, leaders can start to build an organization that is reflective of their customer base. Hesselbein (2002) notes that diversity of gender, race, culture, and background in leadership teams strengthens and enriches organizations.⁹⁴ Central concepts of diversity include building an inclusive workplace where differences are valued and can provide a competitive advantage. There is also recognition that the demographics of the customer base and the workforce are changing, and inclusive policies are needed to keep leaders and their organizations in touch with these new trends. Hesselbein (2002) defines diversity in terms of equal access and outlines a five-part process for making the concept reality.⁹⁵ The steps are: a shared vision of a diverse future; a plan that realizes the vision; policies, practices and procedures that are examined at all levels to ensure full participation; asking the question “when our customers look at us, can they find themselves?”; and if the answer to the previous question is negative, repeating the process. The integration of these ideas is critical to leadership success.

⁹⁴ ibid., p. 26.

⁹⁵ ibid., p. 121-2.

The second methodology involves developing more integrated leadership frameworks, which have become more prevalent in the last decade. These models present leadership as a more complex network of ideas, relationships and principles. Covey's (1992) principle centered leadership paradigm, which examines leadership at four levels (personal, interpersonal, managerial and organizational) is an example of such a model.⁹⁶ Chemers (1997) proposes an integrative model with three key zones, self-deployment, transactional relationship, and team deployment.⁹⁷ Self-deployment is the orientation of leaders to the environment. Transactional relationship involves the interactions between leaders and followers, which determine the motivation, commitment and satisfaction of each group.⁹⁸ The final stage is team deployment, which relates to team actions and outcomes. Hesselbein's (2002) thoughts on leadership range from personal attributes to equal access and also include insights into organizational structure. The traditional hierarchical command and control structure is inappropriate for today's more fluid environment. Hesselbein (2002) proposes a structure with the leader at the center not at the top or bottom of the organization.⁹⁹ This allows for greater networking, knowledge sharing and learning to occur at all levels in the organization, which will be critical to future success. In a similar manner, Tichy (2002) sees that learning and teaching are vital to leadership and organizational success, where leaders and followers are involved in an interactive manner.¹⁰⁰

Summary. The integration of ideas such as diversity into the core of leadership theory is a reflection of the importance of the issue. The incorporation of such an idea is further evidence that leadership theory is evolving and making an effort to address the needs of leaders and their organizations. Values and core beliefs need to be reexamined as leadership models become more inclusive of social factors. The development of more comprehensive models underscores the complex nature of leadership.

⁹⁶ Covey, S.R., Principle-Centered Leadership, First Edition, Simon and Schuster, 1992, p. 183.

⁹⁷ Chemers, M.M., opcit., p. 163.

⁹⁸ ibid., p. 165.

⁹⁹ Hesselbein, F., opcit., p. 54.

¹⁰⁰ Tichy, N.M., with Cardwell, N., The Cycle Of Leadership – How Great Leaders Teach Their Companies To Win, First Edition, Harper Business, 2002, p. 5.

I. SUMMARY

Leadership is best described as a complex, multi-dimensional art. Leadership is difficult to define and is subject to a great deal of ongoing research. A useful working definition of leadership is that it is about setting a vision, challenging the status quo, energizing others, overcoming obstacles and making a difference. Interest in leadership has continued to grow throughout the last century. The development of newer theories and models has built on previous constructs, increasing our collective understanding of the topic. Many authors have proposed leadership taxonomies to classify the positions of different tenets.

The examination of leadership theories and models has shown how the body of knowledge on leadership has developed over the past century. No single leadership theory or model stands out as superior, so that leaders should attempt to apply a variety of methods as part of their leadership repertoire. Leaders must therefore determine the best model or theory for themselves and their organization and this could result in developing an organization-specific construct of leadership. It is recognized that leadership is an active field of study and that its paradigms will continue to evolve in the future. There is overlap between the respective theories and models. Subsequent theories have built on the previous body of knowledge and have incorporated new ideas into previously accepted tenets.

The emergence of change as a central issue in leadership is a feature of the contemporary literature. Change has taken on greater importance as the essence of leadership. By trying to understand change to a greater extent, contemporary models of leadership enable leaders to be more responsive to their followers and be more capable in the change process. Leadership is a human art, involving serving people, motivating, challenging and inspiring them, and satisfying their basic and higher order needs. Leadership is about give and take and trying to do the best for others.

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IV. COMMON TRENDS IN LEADERSHIP MODELS

A. COMMON LEADERSHIP TRENDS

In reviewing the current leadership literature, three key trends have emerged. First, current leadership concepts are based on previous ideas and constructs. As such new leadership models extend and deepen the previously accepted tenets and provide greater clarity and understanding to the body of knowledge. Second, leadership theories and models have been developed in an evolutionary manner and will continue to change. This does not mean that the development is slow and gradual. The changes have occurred quickly and have matched the rate of change in other organizational and business principles. The final trend is that there are similarities between the different leadership theories and models. These similarities can be seen in the fundamentals of each model. The analysis of the respective leadership theories and models reveals key common trends in the following four areas.

1. Leadership is complex and multidimensional.
2. Leadership is an active paradigm.
3. Leadership is people-centric.
4. Leadership is about change and reinvention.

1. Leadership Is Complex And Multidimensional

The complexity of leadership is reflected in the various definitions, theories and models. As no single definitive theory, model or universal definition of leadership exists, the concept is open to individual interpretation. Some have argued that the concept is too complex and ambiguous. The development of new constructs has occurred in response to two factors: first, the perceived inadequacies of existing theories; and second in response to changes in the broader environment. The multidimensional nature of leadership relates to its application at the different levels - personal, interpersonal, managerial and organizational. The interaction between these different levels is important for the understanding of leadership. Different leadership theories and models have been developed and each construct has added to the leadership body of knowledge. Given that

leadership is difficult to define and that change will continue to occur, leadership thinking will need to evolve. Leadership is required to deal with uncertainty to provide direction for the organization. Integrative leadership models attempt to capture the complexity and multidimensional nature of leadership. Future leadership models are likely to continue this trend of extending the existing body of knowledge.

2. Leadership Is An Active Paradigm

Leadership is an active discipline or paradigm and it requires energy, commitment and dedication by leaders to make things happen. In all models, leaders provide a catalyst for improving their organization. Leaders show the way to followers, motivate and inspire them to believe that the goal is worth achieving. This active paradigm captures the dynamic essence of leadership. There has been a greater realization through the development of the respective theories and models that leadership is an active art. Leaders cannot afford to let things happen and they should not leave things to chance – a passive view that is not beneficial to the long-term survivability of the organization. The emphasis on change and integration of new concepts into the leadership paradigm is evidence of this active approach. An active leadership approach leads to the remaining trends.

3. Leadership Is People-Centric

People are central in any leadership model. The leader must be able to relate to the people, motivate and stimulate them to achieve the desired goals and more. Without followers, there can be no leadership. The leader must focus her or his attention on subordinates, their needs and aspirations. A good leader will satisfy both basic and higher order needs. Leaders must take people with them on the journey and there is a need to manage their expectations along the way. Followers expect their leaders to be proactive and continue to serve their collective best interests. The renewed emphasis on covenant leadership emphasizes that leaders must serve their subordinates. This is a critical component, if leaders expect to implement their vision and continue to reinvent their organization.

4. Leadership Is About Change And Reinvention

The final and most important trend aspect is that leadership is about change - that maintenance of the status quo is not a feasible option. The previous five aspects are linked together through change and leaders must take responsibility for setting the new course for their people and the organization. In order for change to be effective, it requires strong commitment and willingness to make a large-scale or deep change. In the future, gradual incremental change will be less important than rapid and large change efforts. As change involves pain and uncertainty, leaders must take responsibility to guide their subordinates and the organization to the desired state. Leadership should be seen as being synonymous with change and it will continue to remain dynamic. In the future, change will continue to occur, and organizations will be required to operate in a faster and more complex environment. The pace of change will continue to increase. This is consistent with the view that change should be seen as a normal part of life (both personally and organizationally). In meeting the challenges presented by change, leaders will give strength to others to implement the vision.

B. COMMON FEATURES ABOUT LEADERS

The focus on the individual leader is prevalent in leadership literature, and has tended to concentrate on personal traits, characteristics and leadership styles. While variation exists, the different leadership theories and models reveal four common features about leaders:

1. Leaders must have a set of personal attributes and values.
2. Leaders must express clarity of purpose.
3. Leaders must be effective communicators.
4. Leaders must be learners and teachers.

1. Leaders Must Have A Set Of Personal Attributes And Values

Leaders must be seen as leaders by their followers. There are many characteristics that can be used to describe leaders. Common characteristics such as trust, integrity, competence, knowledge, wisdom, initiative, humor, diligence, honesty and

foresight are important. Significant effort has been devoted to understanding the personal traits of leadership and the recent interest in emotional intelligence shows that new concepts are continuing to emerge. Leaders must also know themselves well and continue to develop their strengths and address their weaknesses. This aspect of self-discovery is important and will underpin the leader's confidence in being able to do the job. Leaders cannot expect to lead others if they are not aware of their own strengths and weaknesses. Leaders must remain committed to continual self-development to enhance their credibility, worth and value to the organization. It is also critical that the leader's values, ethos and goals are aligned with the organization. Misalignment of goals, values and beliefs will cause conflict and result in organizational ineffectiveness.

2. Leaders Must Express Clarity Of Purpose

The leader must have clarity of purpose and move the organization towards that purpose. In more recent times, clarity of purpose is synonymous with the vision. Visionary leaders have a strong sense of direction for the organization. Leaders are expected to define and articulate their vision and commence the change process. The vision is critical, because without it the rest is left to chance. The vision will help to define the types of attributes required of leaders, the styles of leadership to be used and how the needs of the followers will be met. The vision must challenge, motivate and inspire everyone in the organization. It can be defined only by the leader and will require ownership at all levels. In setting the vision, the leader must be attuned to the environment both internal and external to the organization and determine the desired end-state.

3. Leaders Must Be Effective Communicators

Effective communication is required for leadership to succeed. Different communication styles will be needed according to the situation and must support the leadership style that is required. Communication is the key to implementing the vision and the change process. Communication is not just writing and speaking, it is also about listening and reading critically. Effective communication enables leaders to become attuned to their environment and the needs of their subordinates. Without quality communication, leadership will fail and the organization will die. Leaders need to use a

variety of communication media, seek opportunities to understand the environment and value the contribution of others. They should never tire of selling the vision and should always be excited about the change.

4. Leaders Must Be Learners And Teachers

Leaders are always trying to improve themselves and they maintain an active commitment to lifelong learning. Learning is central to a leader's performance and development. Learning is a critical aspect of the leader's development and it starts with critical introspection. Given the speed and size of change, leaders recognize that learning is important to ensure relevance both individually and organizationally. Leaders have a responsibility to develop the next generation of leaders. This is arguably the leader's greatest legacy to the organization. Leaders have a significant role to play in teaching others to fulfill their leadership potential. Both learning and teaching must be an integral part of the leader's life.

C. SUMMARY

Given the change and uncertainty in today's environment, leadership thinking will continue to evolve to enable leaders to deal with the new directions. The common trends in leadership and their features will continue to be important in responding to change. The trends and features should be seen as the basics of leadership. These leadership trends and leader features are likely to endure in future leadership thinking and, together with the organization's vision and shared values, these should form the basis for organizational leadership thinking. While organizational leadership models will change in response to new challenges, it is likely that these basics will remain unchanged.

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V. LEADERSHIP AND ORGANIZATIONS

A. INTRODUCTION

The leadership taxonomy shows a range of leadership theories, ideas and models. There are similarities between these constructs and these can be seen in the common leadership trends and common leader features. The value of these leadership theories lies in their application in the workplace. In bridging the gap between theory and practice, individual organizations have developed specific organizational leadership models to clarify the realm of leadership for their members. The organizational leadership model is not a new concept. Successful organizations realize the importance of a relevant leadership model. Such models should encapsulate the organization's core beliefs and values. Organizations will develop and use a specific leadership model that meets their requirements. Organizational leadership models should also be representative of the organizational culture and able to adapt to the future direction of the organization.

As leaders play an important role in establishing, changing and reinforcing the organizational culture, the organizational leadership model should also be refined to ensure that it remains relevant to the future organization and its needs. These models should not be static models, but rather they should be modified to match the demands of organizational change. In developing the leadership framework, leaders need to maintain an active role to ensure that the model promotes a single culture and avoids potential institutional barriers to leadership. This chapter examines six issues with regards to leadership and organizations:

1. The Importance of Leadership Models for the Organization.
2. New Types of Organizations.
3. The Importance of Organizational Culture.
4. Removal of Institutional Leadership Barriers.
5. Revision of Organizational Leadership Models.
6. Linkages With Leadership Selection and Development

B. THE IMPORTANCE OF LEADERSHIP MODELS FOR ORGANIZATIONS

Organizations should develop their own leadership model that encapsulates the organization's leadership philosophy. By doing so, organizations will be able to define a leadership model that meets their purpose and will have meaning for the members of the organization. Conger and Benjamin (1999) cite a range of organizations that use organizational leadership models successfully.¹⁰¹ These organizations include the United States Army, Federal Express, Ernst and Young, Pepsi and National Australia Bank. Charan et al. (2001) note that organizations such as Marriott International, General-Electric, Arthur Andersen, and Johnson & Johnson, have a clear understanding of leadership. Non-profit organizations have also used leadership models to ensure relevance for their volunteers and the people they serve. Thus, organizational leadership models can be found in different organizations, business sectors and industries. An organizational leadership model does not guarantee successful performance, but it provides a foundation for leadership activity. Charan et al. (2001) note that while companies make mistakes and experience downturn for many reasons, leadership failure is often at the root of these problems.¹⁰² Without a leadership framework, often missing in many organizations, leadership can become an overly simplistic generalized philosophy.¹⁰³ A leadership model helps an organization to:

1. Define leadership in its own terms and language.
2. Identify leadership levels within the organization.
3. Provide a framework for leadership development.
4. Articulate a teachable point of view.

Leadership Definition. Leadership is complex and the literature reveals multiple definitions and models. Organizations need to define leadership in order to provide a single, well delineated leadership model.¹⁰⁴ This leadership model should be clearly

¹⁰¹ Conger, J.A., and Benjamin, B., opcit.

¹⁰² Charan, R., Drotter, S.J., and Noel, J.L., opcit., p. 192.

¹⁰³ ibid., p. 193.

¹⁰⁴ Conger, J.A., and Benjamin, B., opcit., p. 33.

articulated and relevant to the organization. This single leadership model should capture the organization's core values and beliefs and should resonate with the people in the organization. Organizational leadership models should have a sense of longevity that will ensure that the framework remains valid beyond the short-term. As organizations will need to change to maintain their relevance, leadership demands will also vary, which may impact on the organizational leadership model.

A well-defined leadership model will provide benefits to the organization. The first benefit is that the organization is able to define the leadership responsibilities at different levels, which is important for job and organizational design, and subsequently, the selection and development of individuals to fill these leadership positions. The second benefit is that leadership development programs and initiatives can be aligned with the requirements at each level. Charan et al. (2001) define these requirements in terms of skills, time allocation and values. The third benefit is that the leadership model helps leaders to develop a teachable point of view. Tichy (2002) defines a teachable point of view as being a cohesive set of ideas and concepts that a person is able to articulate to others.¹⁰⁵ The teachable point of view should support the organizational leadership model, enabling the leader to share his or her knowledge by externalizing their tacit knowledge for the benefits of others.¹⁰⁶

Leadership Levels. Organizations have leaders at different levels. Conger and Benjamin (1999) note that having a single model of leadership does not mean that the same aspects of leadership are taught across all levels of the organization.¹⁰⁷ While some aspects will be common to all levels, each level has its own requirements in terms of skills, time allocation and values. Conger and Benjamin (1999) note that these differences are recognized in the US Army Leadership Model:

There are some aspects of leadership that apply to everyone, regardless of rank ... On the other hand, leadership in some ways is not the same for the

¹⁰⁵ Tichy, N. with Cardwell N., opcit., p. 74.

¹⁰⁶ ibid., p. 75.

¹⁰⁷ Conger, J.A., and Benjamin, B., opcit., p. 34.

sergeant as it is for the colonel.... [There are] unique aspects of leadership that exist at specific levels of leadership.¹⁰⁸

The differentiation of leadership levels is a key feature of Charan et al.'s leadership pipeline construct. The use of a single leadership framework allows organizations to provide a consistent philosophy to support the leadership demands at each level.

Leadership Development. Leadership development is important for all organizations and spending on such initiatives has increased since the mid 1980s. In the United States, expenditures on management training increased from \$10 Billion in the mid 1980s to \$45 Billion (including \$12 Billion for executive education) by 1995.¹⁰⁹ Leadership development is particularly critical for organizations such as the military that have limited lateral recruitment opportunities into the middle and senior level positions. Leadership development is not a series of static activities but rather a continuum that recognizes that different leadership skills and abilities are needed at different levels as the leader progresses through the organization.¹¹⁰ Leadership development is consistent with the principle of lifelong learning. In order to maximize the effectiveness of leadership development programs, the learning activities should be specifically designed and linked to the leadership framework.

Leadership development has undergone changes in recent times. Conger and Benjamin (1999) note that the trend in the 1990s has been to move towards organization-specific action-oriented learning programs.¹¹¹ Companies such as Ford, Levi Strauss, Pepsi, Ernst and Young, and General Electric have used such programs very successfully. The main advantage of action-oriented learning programs is that the developmental activities are designed to meet specific organizational objectives and help to solve real-life problems of immediate relevance. The features of action-oriented learning include:

- Creating a dialogue, common vision, and shared commitments to facilitate effective organizational change.

¹⁰⁸ ibid.

¹⁰⁹ ibid., p. 1.

¹¹⁰ ibid., p. 34.

¹¹¹ ibid., pp. 18-9.

- Orientation to the bottom line.
- Imparting relevant knowledge that can be applied immediately.
- Building teams of leaders and leaders of teams.
- Disseminating leadership throughout the organization.
- Providing mechanisms and opportunities for self-development.
- Aligning management and support systems to promote and reinforce ongoing leadership development.¹¹²

Teachable Point of View. The organization leadership model should support the concept of a teachable point of view. As leaders are both learners and teachers, leadership development supports learning and the teachable point of view allows leaders to teach others about leadership and how it applies to the organization. If the leadership model cannot support the leader's teachable point of view, then the model is not aligned to the leader's vision or needs of the organization. Tichy (2002) notes that the teachable point of view consists of four elements.¹¹³ The first element is that the leaders and the people in the organization have good ideas. The leader's role is to ensure that the best ideas emerge and are developed to ensure the organization's success. The second element relates to values and Tichy (2002) notes that winning leaders articulate values explicitly and shape values that support winning business ideas.¹¹⁴ The third element of emotional energy relates to how leaders motivate and inspire others to achieve their goals and is particularly important in change and transition initiatives. In the fourth element, leaders are required to provide a winning edge for their organizations. This concept of a winning edge is best seen in the tough decisions that leaders are required to make. All four elements are closely related. The leadership model needs to support all four elements of the teachable point of view.

C. NEW TYPES OF ORGANIZATIONS

Three new types of organizations have been discussed in the leadership literature. These three types are: (1) the leadership organization, (2) the learning organization, and (3) the teaching organization. These organizational types do not describe the structure

¹¹² *ibid.*, p. 23.

¹¹³ Tichy, N. with Cardwell N., *opcit.*, p. 75.

¹¹⁴ *ibid.*

but rather identify the culture and approach to transformation within the organization. Culture and transformation are broad concepts, and in this context they refer to organizational change and how individuals respond to the new demands. In particular, these organizational models examine how knowledge is shared and developed, which in turn affects leadership effectiveness. These three organizational models focus on leaders and people, and how they shape the organization. The main features of each type are discussed in more detail.

1. The Leadership Organization

Anderson (1998) defines a leadership organization as one that creates and sustains a leadership-centered culture where leaders are equipped to develop leaders at all levels of the organization – from top-down and from inside-out.¹¹⁵ This definition places emphasis on leaders taking an active role in the development of other leaders. The focus on leadership development is a critical notion for the leadership organization. While this definition infers both learning and teaching, these are supporting activities to the leadership-centered culture. A key aspect of the leadership organization is the development of leaders as the primary focus for ensuring long-term organizational survivability. The concept of the leadership organization is able to spread through all levels of the organization. Anderson (1998) notes that after the development of the executive team, there are eight steps that a large-scale organization goes through to effect transformation:

- Shift paradigms from managing business “status quo” to leading performance teams toward the realization of a preferred future.
- Develop and communicate an inspiring vision of an ideal future that will motivate individuals and teams. Involve others in creating this vision.
- Assess the needs, wants, fears, and problems of the organization.
- Using a systems approach to change management, set realistic, achievable transition goals that, when accomplished, will realize the vision.
- Strategically plan and implement step-by-step changes, and remove obstacles to realizing the new vision and goals.
- Prepare, train, coach, and mentor the key leaders – those who are willing, ready, and able to develop self-leadership capabilities in others.

¹¹⁵ Anderson, T.D., *opcit.*, p. 6.

- Research and track the outcomes of change initiatives and report progress at regular strategically timed intervals so that movement towards the vision can be celebrated and unexpected obstacles removed or managed.
- Engage intentionally in continuous developmental learning that results in ongoing personal, team, organization, family, and community development.¹¹⁶

The leadership organization provides a basis to develop both the learning and the teaching organization.

2. The Learning Organization

The concept of a learning organization is that learning occurs at all levels and is a continual process. As leadership shares these features, the notion of a learning organization is complementary to leadership. Bennis and Nanus (1985) note that true leaders are learners who model learning for the whole organization.¹¹⁷ Senge (1990) defines five disciplines for a learning organization:

- personal mastery;
- systems thinking;
- mental models;
- building shared vision; and
- team learning.¹¹⁸

The underlying assumption is that leaders and learners either have the required competencies or they can be learned. Anderson (1998) shows that these disciplines can be developed in a building block format in the following five-step process:

1. Self-leadership leads to individual and team success.
2. Personal and interpersonal development builds effective team members and leaders.
3. Effective team leaders build high-performance teams.

¹¹⁶ ibid., pp. 7-8.

¹¹⁷ Mohrman, S.A., “Top Management Viewed From Below – A Learning Perspective On Transformation”, from Conger, J.A., Spreitzer G.M., and Lawler, E.E. III, (Eds.), The Leader's Change Handbook: An Essential Guide To Setting Direction And Taking Action, Jossey-Bass, First Edition, 1998, p. 285.

¹¹⁸ Anderson, T.D., opcit., p. 10.

4. High-performance teams build successful learning organizations.
5. Effective learning organizations build healthy communities.¹¹⁹

An important distinction between the leadership organization and the learning organization is that leadership development starts at the top in the leadership organization, whereas it can start at any level in the learning organization. A similarity between the leadership and learning organization is that they both support learning at different levels. Senge (1995) identifies leaders in three different organizational positions that are instrumental in building a learning organization and they are:

1. Local line leaders, who can undertake meaningful organizational experiments to test whether new learning capabilities lead to improve business results.
2. Executive leaders, who support the line leaders, develop learning infrastructures, and lead by example in the gradual process of evolving norms and behaviors of a learning culture.
3. Internal networkers, who move freely about the organization to find those who are predisposed to bringing about change, help out in organizational experiments, and aid in the diffusion of new learnings.¹²⁰

3. The Teaching Organization

The teaching organization builds on the concepts of the leadership and learning organizations. The teaching organization includes a leadership-centered focus and supports the principle of continuous learning at all organizational levels. Tichy (2002) states that a teaching organization adds the critical expectation that everyone will be a teacher as well as a learner.¹²¹ This is a powerful concept and it reinforces sharing knowledge within the organization. Tichy (2002) further notes that when an organization approaches every activity as a teaching and learning opportunity, the result is a powerful

¹¹⁹ ibid., p. 12.

¹²⁰ Senge, P.M., “Leading Learning Organizations – The Bold, The Powerful, And The Invisible”, from Hesselbein, F., Goldsmith, M., and Beckhard, R., (Eds.), The Leader Of The Future – New Visions, Strategies, And Practices For The Next Era, First Edition, Jossey-Bass, 1996, p. 46.

¹²¹ Tichy, N., with Cardwell, N., opcit., p. 50.

self-sustaining cycle that keeps collecting, generating and spreading knowledge to players at all levels of the organization.¹²² Pepsi and General Electric are two excellent examples of a teaching organization.

The teaching organization supports a virtuous teaching and learning cycle that creates knowledge. Teaching and learning are seen as mutually supporting concepts. The benefits of a teaching organization can be seen in Table 4.

Table 4. Tichy's Differences Between a Virtuous Teaching Cycle and a Non-Virtuous Teaching Cycle

Virtuous Teaching Cycle	Non-Virtuous Teaching Cycle
Leadership at all levels.	Leadership top down.
Teach and interact.	Command and control.
Open communication.	Defensive communication.
Teamwork.	Passive-aggressive behavior.
Grows self-confidence.	Reduces self-confidence.
Teachable point of view at all levels.	Rigid top-down point of view.
Collective knowledge at all levels.	All intelligence assumed to be at the top.
Everyone's brain counts.	Brains of the masses checked at the door when work starts.
Organizational knowledge grows.	Organizational knowledge depleted.
Positive emotional energy grows.	Emotional energy sucked out of the organization.
Boundaryless.	Boundary-ful and turf oriented.
Mutual respect.	Fear of boss.
Diversity valued.	Homogeneity of thought.

Source: From Tichy (2002)¹²³

¹²² ibid.

¹²³ ibid., p. 57.

4. Summary

Each of the three organizational types has a different but related focus. The leadership organization focuses on a leadership-centered culture. The learning organization supports the notion that leaders at all levels are engaged in continuous learning, and that these benefits will flow through the organization. The teaching organization extends the concept of a learning organization by adding teaching as a critical dimension to leadership and organizational development. While the leadership, learning and teaching organizational concepts emphasize different features; the three constructs should be used together. Jointly using the three concepts is likely to help transformation and positively influence the direction of organizational culture.

D. THE INFLUENCE OF ORGANIZATIONAL CULTURE

Schein (1992) defines culture as “*a pattern of shared assumptions that a group learned as it solved problems of external adaptation and integrations, that has worked well enough to be considered valid and therefore to be taught to new members as the correct way to perceive, think, and feel in relation to those problems.*”¹²⁴ Deal and Kennedy (1982) provide a more succinct definition – “*the way we do things around here.*”¹²⁵ In essence, culture is an understood set of values, beliefs and actions that are acceptable to the organization. Each organization grows and develops its own culture that has meaning and resonance to its members. Organizational cultures must remain relevant to the needs of the organizational members and the long-term direction of the organization. Individual perceptions of organizational culture can differ according to the person’s level within the organization and attitude towards the organization and its values. Some organizations have distinct cultures that can be readily seen by non-member of the organization. Stewart (2001) identifies companies like General Electric and Hewlett Packard, and government agencies like the Pentagon as high commitment organizations.¹²⁶ Regardless of the culture present, it is important that leaders work hard

¹²⁴ Bolman, L.G., and Deal, T.E., Reframing Organizations: Artistry, Choice, And Leadership, Second Edition, Jossey-Bass, 1997, p. 231.

¹²⁵ ibid.

¹²⁶ Stewart, T.A., “Trust Me On This”, from Bennis, W.G., Spreitzer, G.M., and Cummings, T.G. (Eds.), The Future Of Leadership – Today’s Top Leadership Thinkers Speak To Tomorrow’s Leaders, First Edition, Jossey-Bass, 2001, p. 75.

to project a single culture that unifies the organization and that the culture is viewed the same by those inside and outside of the organization.

Organizational culture is not static and needs to be refined as the organization moves through different phases. Organizational culture is also viewed differently by different generations. Greenberg-Watt and Robertson (2001) note that traditionally organizations have developed a strong culture based on the values of loyalty, fortitude and paternalism – generally embodied and practiced by the baby boomers, but this classic culture does not appear to resonate as well with the Generation Xers.¹²⁷ As both generations are still active in the workplace, an effective organizational culture needs to embrace the values of both generations. Greenberg-Watt and Robertson (2001) further state that companies realize that they must adapt their culture to attract and retain the best of both generations.¹²⁸ Because people are working longer, it is likely that this problem will be compounded further when multiple generations are in the workplace. While there is no clearly recognized method to initiate organizational culture change, it is likely that leadership plays a significant role in enhancing the culture. The key will be to identify a set of values that have a timeless quality and that are relevant to all generations.

In further examining organizational culture in the context of leadership, four aspects are further investigated:

1. The role of the leader to influence culture.
2. Military cultures.
3. Ideal organizational cultures.
4. Implications for the organizational leadership model.

1. The Role Of The Leader To Influence Culture

Schein (1992) states that organizations pass through four distinct phases that require different approaches from the leader to influence organizational culture –

¹²⁷ Greenberg-Watt, C.L., and Robertson, A.G., “The Evolving Role of Executive Leadership” from Bennis, W.G., Spreitzer, G.M., and Cummings, T.G. (Eds.), The Future Of Leadership – Today’s Top Leadership Thinkers Speak To Tomorrow’s Leaders, First Edition, Jossey-Bass, 2001, p. 147.

¹²⁸ ibid.

creating, building, maintaining and changing.¹²⁹ When the organization is formed, the leader acts as an animator in order to energize the organization and create the initial culture. After the creation phase when the organization has shown the potential to survive, the leader then builds the culture. Schein (1992) notes that culture building occurs in three ways: (1) the entrepreneurs only hire and keep subordinates who think and feel the way they do, (2) they indoctrinate and socialize subordinates to their way of thinking and feeling, and (3) their own behavior is a role model that encourages subordinates to identify with them, and thereby internalize their beliefs, values, and assumptions.¹³⁰ Depending on the organization's success and how much of this success is attributed to the leader, there is greater potential for the leader's behavior, values and views to be entrenched in the emerging culture. While this is appropriate during this building phase, it could cause longer-term problems for the organization, particularly if there is poor alignment between leadership and decision-making styles, processes and incentive systems.

As the organization matures in the third, maintaining phase, the strengths and weaknesses of the culture become evident. Leaders need to allow new leadership forms to emerge and to help institutionalize the best elements within the organizational culture. Schein (1992) notes that this is a difficult task that requires the leader's judgment and wisdom.¹³¹ The final phase involves leaders and the organization changing to meet future demands. This can be a difficult phase because of the emotional energy associated with the existing culture. People are inherently reluctant to change and may believe very strongly in the organizational culture. New challenges will require the organization to incorporate new ideas and dismantle obsolete paradigms. In order for cultural change to occur, the leader will need to take an active role and show that the leader's behavior is consistent with the new framework. Learning is a critical part of maintaining and changing the organizational culture. If learning is not part of the organization's core values, then it will be difficult for the organization to develop a meaningful culture. Most

¹²⁹ Schein, E.H., "Leadership and Organizational Culture", from Hesselbein, F., Goldsmith, M., and Beckhard, R., (Eds.), The Leader Of The Future – New Visions, Strategies, And Practices For The Next Era, First Edition, Jossey-Bass, 1996, p. 60.

¹³⁰ ibid., p. 61.

¹³¹ ibid., p. 63.

long-established organizations will continue to repeat the maintaining and changing phases during their life.

It should also be realized that the larger the organization, the more difficult it is to implement cultural change. Tichy (2002) notes that the problem with big companies is that their bureaucracies and cultures often prevent them from seeing new ideas or acting on them in a timely fashion.¹³² Jack Welch, (CEO at General Electric) spent over twenty years fighting bureaucracy:

We cultivate the hatred of bureaucracy in our Company and never for a moment hesitate to use that awful word ‘hate.’ Bureaucrats must be ridiculed and removed. They multiply in organizational layers and behind functional walls – which means that every day must be a battle to demolish this structure and keep the organization open, ventilated and free.... Bureaucracy frustrates people, distorts their priorities, limits their dreams and turns the face of the entire enterprise inwards.¹³³

Schein (1992) notes that in the future, leaders will face greater challenges in creating, building, maintaining and changing the organizational culture. In order to face these challenges, leaders will require the following characteristics:

- Extraordinary levels of perception and insight into the realities of the world and into themselves.
- Extraordinary levels of motivation to enable them to go through the inevitable pain of learning and change, especially in a world of looser boundaries, in which loyalties become more difficult to define.
- The emotional strength to manage their own and others’ anxiety as learning and change become more a way of life.
- New skills in analyzing cultural assumptions, and evolving processes that enlarge the culture by building on its strengths and functional elements.
- The willingness and ability to involve others and elicit their participation, because tasks will be too complex and information too widely distributed for leaders to solve problems on their own.
- The willingness and ability to share power and control according to people’s knowledge and skills, that is, to permit and encourage leadership to flourish through the organization.¹³⁴

¹³² Tichy, N., with Cardwell, N., opcit., p. 32.

¹³³ ibid.

¹³⁴ ibid., pp. 67-8.

These characteristics identify the complexity of modern leadership and highlight that refining organizational culture in the future will be more difficult. In developing an organizational leadership model, the challenge will be to ensure that the framework is capable of helping leaders develop these characteristics.

2. Military Cultures

Military cultures have different attributes than other organizations. Defense Forces are consistently viewed as a high-commitment, traditional, conservative and service oriented culture by many outsiders. Within the organization, the culture is more diverse.

Lieutenant General Mueller (recently retired Vice Chief of the Australian Defence Force) notes that within the Australian Defence Organization, the Navy, Army, Air Force, and civilian branches all have different cultures.¹³⁵ Within each Service, different occupational specialties also have their own tribal sub-cultures. This phenomenon is not confined to Australia, but exists in other armed forces.

Mueller also observes that within the Australian Defence Organization's Headquarters another four sub-cultures exist (warrior, bureaucrat, technocrat and business management) which overlay the Service and civilian cultures.¹³⁶ While the multitude of cultures helps to improve diversity of views within the organization, the challenge is to ensure that the strengths can be harnessed and aligned to common goals. Mueller notes that each sub-culture has its own language, which in turn makes effective communication difficult. In order to break down these barriers, a common language and effective communication is needed. As each culture also views leadership differently, a common leadership model would help to enhance greater alignment between the sub-cultures.

While the existence of different organizational sub-cultures is not unique to military organizations, it makes governance and leadership more challenging. As military organizations are dominated by hierarchical, command and control structures, a

¹³⁵ Brenchley, F., A Rocket For Defence, The Bulletin (Cover Story), August 21, 2002, <http://bulletin.ninemsn.com.au/bulletin/EdDesk.nsf/printing/2A4F71FBB4FCB9AAC256C1700077632>

¹³⁶ ibid.

key concern is the ability of these organizations to adapt their cultures to meet changing demands. Nye (1999) notes that despite the fact that the US military constitutes a highly centralized government bureaucracy, leaders in the military have vigorously adapted to change since the Vietnam War.¹³⁷ Nye (1999) notes that the military's leadership was instrumental in changing public perception of the institution from an organization that was drug-ridden, undisciplined, and divided by terrible racial problems to a professional force that performed credibly in the Gulf War.¹³⁸ Nye (1999) also notes that public confidence in the military has remained high, despite scandals of harassment and inappropriate behavior.¹³⁹

While the public views armed forces favorably as traditional organizations that stand for patriotism, there is increasing pressure by government to insist that the military adopts a more businesslike approach in many of its support and administrative functions. The military's challenge is to continue to evolve to meet new demands. Mueller notes:

Defence is a ponderous beast. When it is prodded it sulks and reluctantly moves a few steps before it sits down again, resolutely refusing to budge. On the other hand it is a reliable and sturdy beast that never falters when it is asked to carry a heavy burden... The wider community and its institutions, including business and government, have changed significantly over the past two decades and will continue to do so. Defence must continue to change if it is to remain relevant to the people we must attract and retain. This is no mean challenge for a conservative institution with deeply entrenched and dependent cultures.¹⁴⁰

While these comments are directed at the Australian Defence Organization, this message is relevant for other armed forces.

3. Ideal Organizational Culture

The ideal organization culture consists of seven features:

¹³⁷ Nye, J.S. Jnr., "New Models Of Public Leadership", from Hesselbein, F., Goldsmith, M., and Somerville, I., (Eds.), Leading Beyond The Walls – How High Performing Organizations Collaborate For Shared-Success, First Edition, Jossey-Bass, 1999, p. 284.

¹³⁸ ibid.

¹³⁹ ibid.

¹⁴⁰ Brenchley, F., opcit.

1. A people-centered culture of inclusiveness where the contributions of all individuals are valued. Organizations should recognize that different sub-cultures may exist and that the promotion of a people-centered culture will help to unify the institution. Issues of equity and fairness in all aspects form the foundation of the people-centered culture. Without this basis, the organization will have difficulty in attracting and retaining quality people.

2. A commitment to leadership, learning and teaching is highly valued. The principles of the leadership, learning, and teaching organizations need to be embedded in the culture. If these aspects are part of the culture, it will be easier for the organization to develop Tichy's virtuous teaching cycle. Military organizations emphasize the value of leadership, learning and teaching.

3. Knowledge creation and dissemination is critical for success in the information age. The culture must value knowledge and use it effectively. This is particularly important for military organizations. Kanter and Bennis characterize the most desirable knowledge oriented culture as being: fast, flexible, focused, friendly, and fun.¹⁴¹ An organizational culture that reflects these attributes may find it easier to attract and retain people.

4. There are no barriers to people and organizations reaching their full potential. The culture needs to reward creativity and innovation, whereby new ideas are seen as critical to the organization's future viability. Mistakes should be seen as part of the learning process and not merely punished. Leaders should value optimism and forward thinking. Leaders must eliminate barriers and encourage others to do so.

5. Leaders need to remain forward-looking to ensure that the long-term strategy is sound. This will help the leaders to maintain and change the culture consistent with the new directions for the organization. This will ensure that the culture is relevant for the present and is capable of being adapted for the future as opposed to remaining in the past.

¹⁴¹ Davenport, T.H., "Knowledge Work And The Future Of Management" from Bennis, W.G., Spreitzer, G.M., and Cummings, T.G. (Eds.), The Future Of Leadership – Today's Top Leadership Thinkers Speak To Tomorrow's Leaders, First Edition, Jossey-Bass, 2001, p. 55.

6. Open communication at all levels should be an integral part of the culture. This will ensure that information is passed freely and in a timely fashion in all directions. While technology has improved the organization's capacity to communicate with its people, the quality of the information is also important. Leaders should use appropriate media to deliver important and sensitive information, and the value of face-to-face communication on critical issues should be part of the culture.

7. As change is a necessary part of leadership and organizational growth, a culture should be built on a foundation consisting of a strong set of shared values such as trust, honesty and integrity. These values have a timeless quality and will be relevant to most organizations, and particularly the armed forces. The set of shared values should remain unchanged as the culture evolves over time.

4. Implications For The Organizational Leadership Model

The organizational culture will influence the organizational leadership model. The culture and the leadership model should be synchronized to assist the organization to promote functional behavior and outcomes. If the culture does not support the proposed leadership model, then this could result in dysfunctional behavior and the organization's performance will suffer. As the organization's culture evolves (particularly through the maintaining and changing phases), the leadership model should also be refined.

In organizations such as the armed forces, where multiple cultures and subcultures exist, the movement towards a single leadership model is desirable. This will help to promote a common language and improve communication between the respective tribes. The leadership model should be based on the idealized culture, and be capable of supporting different leadership levels and providing a sound framework to formulate the organization's leadership development programs. As leaders are influential in establishing, maintaining and changing the organizational culture, their responsibility extends to ensuring that the organizational leadership model is relevant to the institution's future needs.

E. REMOVAL OF INSTITUTIONAL LEADERSHIP BARRIERS

Organizational barriers exist in all organizations and prevent the organization from reaching its full potential. Effective leaders dismantle organizational leadership barriers, and promote a climate where it is difficult for deeply entrenched obstacles to remain. As organizations grow, there is potential for new barriers to emerge. Hesselbein (2002) identifies the following institutional leadership barriers:

- Hierarchical structures that restrict, constrict, box people in.
- Corporate cultures that encourage mediocrity and reward playing it safe.
- Corporate cultures and practices that kill the messenger.
- Racism and sexism unacknowledged and unaddressed.
- Fuzzy lines of accountability.
- Lack of sharp differentiation between governance and management, and between policy and operations, with no clearly defined roles and responsibilities.
- No mentoring plan for promising staff.
- Bottom-line mentality; not seeing people as the company's greatest asset.
- Failing to build, now, a richly diverse, pluralistic organization that includes diversity on the board of directors and top management teams.
- Not walking the talk; a leadership team whose behavior doesn't match its message.
- Static staffing structures, with no job rotation or job expansion.
- Lack of a formal, articulated plan for succession.¹⁴²

It should be noted that not all of these barriers would exist at all times and in all organizations. It is possible that these obstacles could be confined to elements of the institution. Leaders might not realize that these barriers exist, as they have been deeply ingrained into the organization's culture and its business practices. These institutional leadership barriers are not aligned with the ideal organizational culture or an effective leadership model.

In refining the organizational leadership model, the framework should be assessed against each of these institutional barriers to ensure that they are not evident. This will help the organization to improve its leadership model and ultimately its performance.

¹⁴² Hesselbein, F., *opcit*, pp. 39-40.

Leaders should be alert for other potential obstacles to leadership and aim to ensure that such barriers are not accepted within the organization.

F. REFINING ORGANIZATIONAL LEADERSHIP MODELS

Organizations should review organizational leadership models to ensure their continued relevance and utility. There are two methods by which organization leadership models could be refined. The method adopted will largely depend on the organization's resources, the urgency for change and how the revised leadership model fits with the organization's future. The organization's leadership needs to remain involved in the development of the leadership model, and not rely on external experts to provide all the answers. The two methods are:

1. Institutionalized Approach - Refinement of the organizational leadership model occurs as part of the organization's commitment to improving its understanding of leadership issues.

2. Integrated Approach – Refinement of the organizational leadership model occurs as part of a strategic initiative within the organization.

A third alternative of refining the organizational leadership model on an ad hoc basis is not considered to be an effective method. The two alternative methods will be discussed in more detail.

1. Institutionalized Approach

The institutionalized approach requires that the organization commit resources on a full time basis to leadership research and development. This will require the establishment of a leadership center with the charter to improve the understanding and practice of leadership within the organization. This approach shows the organization's continued commitment to improving its leadership framework and it has benefits in being able to define the leadership requirements at the different levels within the organization. This approach is well suited to the military, where leadership is a critical or core activity. The leadership research group should be a multidisciplinary team that includes credible leaders from different levels. This team should have open access to the organization's senior leadership, who in turn should take an active interest in the group's activities. The

leadership research and development team should be responsible for aligning the leadership model to the future organizational strategy and culture, and ensuring that leadership development programs reflect the new required behaviors.

As with research and development initiatives, the return on investment is not known immediately and is difficult to predict. Long-term commitment is needed from the senior leadership to ensure that the benefits of the group are realized.

2. Integrated Approach

The integrated approach recognizes that leadership models will need to be changed to support other strategic initiatives within the organization. The integrated approach is more than aligning the vision and the leadership model; it also includes the supporting leadership development programs to improve the organization's leadership. The new strategic initiative may provide the catalyst to refine the leadership model.

Conger and Benjamin (1999) note that this approach worked effectively for Ernst and Young.¹⁴³ In Ernst and Young's case, this was a long-term initiative commencing with the Vision 2000 Project that started in 1992. Vision 2000 required Ernst and Young to restructure its services by area, function and industry. Ernst and Young recognized that the key to implement the vision rested in the hands of their people and would depend on the firm's leadership.¹⁴⁴ The Leadership 2000 Program was formulated and implemented to address these concerns. Leadership 2000 focused on developing the skills, time allocation, and values of the managers at different levels. In developing the Leadership 2000 Program, Ernst and Young used external experts. This example shows how strategic initiatives and leadership needs can be integrated. For many organizations, this approach may be preferable to institutionalizing a full-time leadership research and development team.

G. LINKAGE WITH LEADERSHIP SELECTION AND DEVELOPMENT

Leadership selection and development does not occur in isolation within the organization. Selection and development are critical activities that will ultimately

¹⁴³ Conger, J.A., and Benjamin. B., opcit., p. 197.

¹⁴⁴ ibid., p. 200.

determine the well-being of the organization. When considering the organization's future leadership selection and development needs, current leaders will need to consider such things as the future organizational strategy and change imperatives including the impact on the culture and its necessary adjustments, and the anticipated demands on the future leadership. As all of these issues are interwoven, the task of selecting and developing the organization's future leadership is complex. Leaders will need to consider these issues deeply, and examine how talent is developed and managed throughout the organization.

Selection and development needs to consider the following aspects:

1. Selection and development should be consistent with the principles of a people-centered culture. This culture promotes the ideal of a diverse range of people being selected and developed for more senior appointments based on merit and fairness.

2. People identified for higher leadership roles should have the capacity and desire to fill these appointments. These people will be forward-looking, and will have shown a commitment to leadership, learning and teaching. These people will be the new change agents in the organization.

3. Selection criteria will be based on the leadership competencies identified for the different leadership levels as outlined in the organizational leadership model. Leadership developmental programs will be aligned with providing the requisite skills and values necessary at each level. Additionally, these people should be assessed as being able to contribute to the organization's future strategic direction.

4. The developmental process is continuous. Current leaders need to take an active role in mentoring, coaching and supporting the organization's future leadership. These strategies are critical to ensuring that the organization's talent is managed effectively.

H. SUMMARY

Leadership is an integral part of organizations. Leadership is reflected in the organizational culture, which encompasses the organization's core values, beliefs and methods for accomplishing work. Organizations use leadership models to define leadership in their organizational context and to provide a framework for its leaders.

Concepts of leadership models, culture and organizational change are closely related. Leaders need to be cognizant of the different sub-cultures and their influence, as they attempt to unify the organization.

Leadership models help the organization to define leadership responsibilities at different levels, and provide a framework for leadership development. An effective organizational leadership model helps leaders to fulfill their learning and teaching functions. The leadership model plays a key role in the organization's development of a virtuous teaching cycle.

Leaders are responsible for shaping organizational change and for removing institutional leadership barriers. These are ongoing tasks that affect the health and performance of the organization. Leaders also need to take a close interest in the refinement of the organizational leadership model so that it matches the intent of future strategic initiatives. The leader's influence on the organizational strategy, culture and leadership framework will affect the selection and development of the future leadership team. The leader's challenge is to promote a coherent strategy that helps the organization attract and retain the best people for the future. The issue of talent management will be examined further in the next two chapters.

VI. SELECTION OF SENIOR LEADERS

A. INTRODUCTION

In all organizations, the selection of future leaders and the broader leadership team is a critical activity. The appointment of new senior leaders is watched with interest from within the organization and by the wider community. Managers at all levels and other employees are keen to know the new leader and their vision for their organization. In large corporations, perceptions of a new Chief Executive Officer (CEO) can influence the share price and value of the company. In government and non-profit organizations, new leadership appointments are important to the future direction and continued relevance of the institution. The selection of the top leader and other senior leaders should be the product of a rigorous and thorough process that supports finding the best candidate. Other supporting processes should exist within the organization to ensure that the talent pool for the senior positions is large enough to sustain the organizational needs. Therefore, the senior appointments cannot be considered in isolation from the remainder of the organization's personnel plans.

The leadership selection processes used by organizations can be grouped into two broad alternatives – recruit leaders externally or promote leaders internally. Organizations can use both approaches, however, there is greater evidence to suggest that organizations that develop and promote their own leaders perform better in the long-term. Military organizations favor promoting from within. This is generally because the professional mastery of military fighting knowledge and skill is acquired from a wide variety of experiences over a long period of time. There is minimal scope for lateral entry at higher levels in military organizations.

This chapter reviews different selection processes and how they help an organization to manage the talent of their people. A more detailed examination of the selection processes used by military organizations is provided along with two other emerging concepts – the leadership pipeline and acceleration pools. A greater understanding of these talent management approaches will enhance the organization's ability to attract and retain the best people for leadership positions.

B. BASIC ALTERNATIVES TO SELECTING LEADERS

There are two basic alternatives for the selection of leaders and these are:

1. Replacement Planning Systems.
2. Succession Management Systems.

Byham, Smith and Paese (2002) note that in a Development Dimensions International Incorporated Survey of midsize and large organizations throughout the world, an overwhelming majority of firms want to fill 70 to 80 percent of their executive positions (general manager and above) with internal candidates.¹⁴⁵ Replacement-planning systems are synonymous with recruiting leaders from outside of the organization, although they also allow internal candidates to compete with external candidates. Succession management systems are predominantly talent management processes that select and develop people who are already within the organization. The key difference between the two alternatives is that in succession planning systems, leadership selection and development are integrated. These two alternatives represent the extremes of the leader selection process.

1. Replacement Planning Systems

Replacement-planning systems have been used traditionally by organizations to identify potential replacements for both senior and middle managers.¹⁴⁶ In developing these systems, senior leaders and human resource staff work closely together to produce staff replacement plans. If suitable candidates do not exist within the organization, then an external recruitment process is launched to find the most suitable person.

For some organizations (such as the military), the option to recruit externally is extremely limited or non-existent. While military organizations can recruit senior professionals (such as lawyers and medical specialists) to fill short-term needs, this does not occur for senior leadership positions. In military organizations, the appointment of senior reserve officers into the full-time force is considered an internal replacement and not an example of external recruitment.

¹⁴⁵ Byham, W.C., Smith, A.B., and Paese, M.J., Grow Your Own Leaders – How To Identify, Develop, and Retain Leadership Talent, First Edition, Prentice Hall, 2002, p. 15.

¹⁴⁶ ibid.

External recruitment requires considerable effort by the organization's leadership and human resource staff, even if a professional search and placement agency is used. While many organizations have successfully recruited leaders from outside of their organizations and these people have performed well, there are a number of pitfalls associated with this approach and these include:

- a. External search and recruitment costs can be high.
- b. As the demand for leaders exceeds the supply, then this could increase the size of the compensation package required to attract the individual, thereby leaving the organization with two choices: enter the bidding war or accept a lesser candidate.
- c. It can be difficult to assess the individual's organizational fit and how their vision is aligned with the organization's future strategy.
- d. It may be difficult to determine the candidate's commitment to developing others and their own personal development history.

Charan et al. (2001) note:

Hiring gifted people makes sense as a tactic but not as a strategy...this approach falls apart because of the scarcity of highly talented individuals. Not only will you pay through the nose for these people, but what is more important, they will never develop fully. The stars of the business world usually change jobs or companies so frequently that they have difficulty finishing what they started. They don't stay in one place long enough to learn from mistakes, master the right skills, or gain the experience needed for sustainable performance.¹⁴⁷

2. Succession Management Systems

While replacement-planning systems are reactive by nature, succession-planning systems are more proactive. In succession-planning systems, organizations place a greater emphasis on linking selection and development systems to ensure that there is a pool of suitable candidates for positions of increased responsibility. Such organizations recognize that leadership talent is in short supply and embark on long-term strategies to develop their own talent. This approach improves morale within the organization and is less expensive than relying heavily on external recruitment. Other benefits include better

¹⁴⁷ Charan, R., Drotter, S.J., and Noel, J.L., opcit., p. 5

knowledge of the strengths and weaknesses of internal candidates, which should improve the quality of information provided to the decision maker. Byham et al. (2002) note that companies with formal succession planning systems were found to have a greater return on investment than expected compared to companies who did not have an instituted succession system.¹⁴⁸

Byham et al. (2002) note that the key benefits of a succession planning system include:

- Provide a source of in-house replacements for key leadership positions.
- Retain key talent.
- Prepare individuals for future challenges (e.g., for growth or implementing new strategies).
- Align executive resources to organizational directions.
- Increase the organization's human capital.
- Accelerate the development of key individuals.
- Provide challenging, growth-oriented, and rewarding career opportunities.
- Ensure a continuity of management culture, which is difficult to maintain when many executives are brought in from the outside.
- Avoid lost productivity while a person is learning a job.
- Control costs: Developing internal talent is less expensive than hiring from the outside (e.g., costs of recruitment and relocation, higher starting salary).
- Make the organization more attractive to job candidates.
- Monitor and help attain diversity goals.
- Increase the stock value: Investment analysts are becoming concerned with organizations' processes for filling top positions.
- Increase chances of survival: The alternative might be decline or collapse.¹⁴⁹

C. EXISTING MILITARY SELECTION PROCESSES

The career structures for military officers are well defined in accordance with the hierarchical nature of the organization. Such a structure allows for a methodical

¹⁴⁸ Byham, W.C., Smith, A.B., and Paese, M.J., opcit., p. 10.

¹⁴⁹ ibid., p. 9.

progression through the ranks, which can be readily outlined. The aim of the selection system is to select the best people for senior appointments based on performance and a broad range of experiences. These are the basic principles of a meritocracy and can be applied to all organizations. A basic assumption that underpins this system is that an individual who is deemed to be unsuitable at one rank, will not be suitable at higher levels. The US military forces have adopted an ‘up or out’ philosophy for officers, which means that officers who are not selected for the next higher rank level have a limited tenure based on the individual’s number of years of service. Other countries, including Australia, use an ‘up or stay’ philosophy that allows officers to remain until their compulsory retiring age, on the proviso that their performance is satisfactory.

At all rank levels, promotion is based predominantly on merit. The complexity of the process increases at each higher rank level, and this is reflected in the composition and processes used by the selection board. At the junior officer levels, selection for the next rank is generally based on performance, experience (time-in-rank), and a current recommendation for promotion from the commanding officer. Promotion is relatively automatic for officers who satisfy these criteria.

Promotion to mid grade positions (O-5 and O-6) becomes more competitive and other factors are considered. While performance evaluations and time-in-rank are important, other factors are used to discriminate between individuals. The types of appointments, such as commanding officer and executive officer are critical. Graduate education including attendance at mid-career Service colleges (such as Command and General Staff Course or equivalent) is also considered. However, performance in command and executive officer tours is a key determinant in deciding future promotion prospects. While the selection board considers fewer officers, the board has more information to consider, and judgment about suitability at the next level includes a subjective element. As selection to O5 and O6 is competitive with less than 50 percent of candidates being selected for the next rank, these selection boards are critical because they reduce the pool of candidates for the highest ranks.

At the senior level, the promotion board becomes still more selective. Performance, range of appointments and perceived ability to cope with additional

responsibility are critical considerations. The selection board's composition becomes more varied and includes senior military officers and public servants, and the process may be supplemented by a series of interviews. Officers who are selected for the senior ranks are expected to deal with a broader range of issues usually involving greater complexity and at a more strategic level. While some senior appointments are directly related to war fighting missions, many other positions are responsible for a wider range of issues that will influence the future direction of the organization. Therefore, the selection of senior military leaders must consider the variety of challenges faced by the organization.

The key strength of the generic military selection system is that it is based on evaluated performance and experience. The merit-based approach based on performance and experience requires accurate evaluation reports to enable relative merit to be established, and key experience measures that support the performance evaluation. While the evaluation tries to evaluate the officer's total performance, greater emphasis is placed on technical competence in completing the job rather than a broad range of leadership measures. There has been a tendency for "reporting creep" to occur in evaluation performance systems, which compresses the range of relative merit toward higher ratings so that it becomes difficult to differentiate between individuals effectively. Performance measures tend to relate to outputs that can be easily quantified as opposed to factors that measure real unit effectiveness. Aspects of "reporting creep" and inadequate performance measures can lead to people 'gaming' the system, which can further erode the credibility of the framework.

There are three main deficiencies in military selection systems. The first weakness is that the system selects individuals for the next rank level as opposed to a range of specific appointments. Some generalists may not be suitable for key functional or support roles. While some specialists are specifically selected and appointed to certain positions based on their technical capacity to fill the appointment, generalists fill most senior positions. The increasing complexity of executive positions suggests that key specialists rather than generalists should be preferred for functional roles. The second weakness is that the selection system is based on past performance, which is used as a predictor for future potential. Unless individuals have been given positions of increased

responsibility and have been critically evaluated, it is difficult to assess their ability for higher-level appointments. The third weakness is that the leadership responsibilities at each level are not clearly defined. This lack of clarity about leadership makes it difficult to assess if individuals are ready to accept the increased responsibility. In this way, the selection system is closer to a replacement planning system as opposed to a succession planning system.

D. ALTERNATIVE – THE PIPELINE METHOD

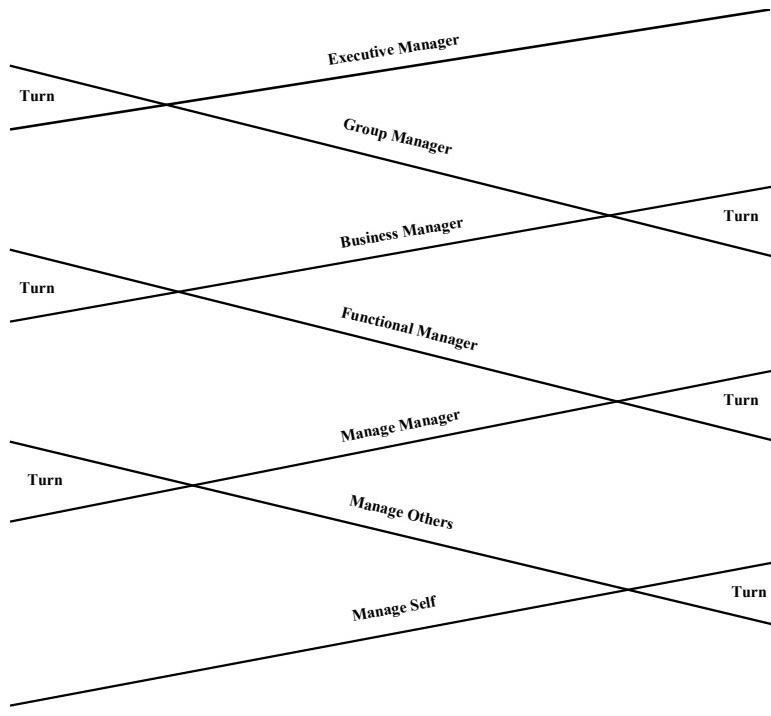
Charan et al. (2001) have developed the leadership pipeline method, which has been adopted by various companies including General Electric, Ford, Citibank, and Goodyear. The leadership pipeline recognizes the shortage of leaders and that companies should emphasize developing their own leaders as opposed to hiring talent from outside the organization. It is a methodology that can be applied to military forces.

The leadership pipeline consists of six distinct passages that leaders progress through:

- From managing self to managing others.
- From managing others to managing managers.
- From managing managers to functional manager.
- From functional manager to business manager.
- From business manager to group manager.
- From group manager to executive manager.¹⁵⁰

The pipeline construct is not a linear model, but rather a model where the six leadership passages represent critical turns in an individual career. The leadership pipeline concept is shown in Figure 2.

¹⁵⁰ Charan, R., Drotter, S.J., and Noel, J.L., opcit., p. 7.



Source: From Charan et al. (2001)¹⁵¹

Figure 2. Leadership Pipeline Construct

There are two key features of the pipeline method. First, the model can be adapted to reflect the number of passages that occur within the organization. In moving from one level to the next, there is a clear recognition that different leadership attributes are required. Therefore, the leadership pipeline provides a means of identifying level-specific leadership requirements, which can then be integrated into an organizational leadership model to ensure consistency in leadership practice. Second, at each level, leadership is clearly defined in terms of:

- Skill requirements – the new capabilities required to execute new responsibilities.
- Time applications – new time frames that govern how one works.
- Work values – what people believe is important and so becomes the focus of their effort.¹⁵²

¹⁵¹ *ibid.*, p. 7.

¹⁵² *ibid.*, p. 8.

By clearly defining the leadership responsibilities at each level, the organization is well placed to: select leaders for increased responsibility and advance them to the next level in the pipeline; and identify the developmental needs for each individual. Charan et al. (2001) note that the changes in leadership requirements for three of the passages (managing others to managing managers, managing managers to functional manager, and business manager to group manager) are often underestimated, and this leads to problems for both the individual and the organization. The attributes at these new levels demand subtle, but necessary changes in leadership skills, time allocation, and work values. At these passages, selection of individuals and their development is important.

In moving from one level to the next, new leadership attributes need to be developed so that the individual can be successful in the new role. This also requires that the job requirements, time allocation and values that allowed the leader to be successful at the lower level need to be unlearned. As an example, Table 5 shows the changes required to move from managing self to managing others.

Table 5. Differences At The First Leadership Passage¹⁵³

Individual Contributor	Front-Line Manager
Skills <ul style="list-style-type: none"> • Technical or professional mastery • Team play • Relationship building for personal benefits or results* 	Skills <ul style="list-style-type: none"> • Planning – projects, budget • Selection (of people), delegation • Performance monitoring • Coaching and feedback • Communication and climate setting • Acquisition of resources
Time Application <ul style="list-style-type: none"> • Daily discipline • Meet personal due dates for projects 	Time Application <ul style="list-style-type: none"> • Planning – annual, quarterly • Make time for subordinates • Set priorities for team • Communication time with others
Work Values <ul style="list-style-type: none"> • Results through personal efficiency* • High quality work • Accept the company's values 	Work Values <ul style="list-style-type: none"> • Getting results through others • Managerial work and discipline • Success of unit

* Items to be dramatically reduced or left behind when person becomes a front-line manager

Source: From Charan, et al. (2001)

Another example of the change in leadership skills is the passage from business manager to group manager. As a business manager, most leaders find this role to be challenging and rewarding, principally due to the autonomy that they have in producing business results. Business managers are able to use direct influence and can see the results of their efforts in the performance of the business unit. Charan et al. (2001) note that the skills required at the group manager level are more subtle and indirect.¹⁵⁴ While the span of influence is expanded with responsibility for multiple business units, including the allocation of resources and priorities, much of the group manager's effort focuses on external responsibilities and helping to set the future direction for the organization. This leadership level provides a critical link between the enterprise

¹⁵³ *ibid.*, p. 36.

¹⁵⁴ *ibid.*, p. 99.

manager and business managers, and success at this level is essential before elevation to the highest level.

If the individual does not develop the new attributes required for the higher level at any passage, but rather continues to use the same leadership pattern that served them well at the lower level, this will cause problems for the organization. In such a case, the individual reverts to working at the wrong leadership level, and is then likely to be doing the work of his or her subordinates and micro-managing their performance. This situation creates a blockage in the pipeline, as the leader is not fulfilling the required leadership role. A common theme at each level is the responsibility for leaders to coach and develop their subordinates for increased leadership roles. At all levels, if leaders fail to develop their subordinates, this also blocks the pipeline as there are fewer individuals ready to assume higher leadership positions. The pipeline concept is consistent with the leader's principles of learning and teaching.

The leadership pipeline concept requires that organizations assess individuals on two dimensions – performance and potential. This approach is considered superior to methods that assess individuals only on performance, because it allows leaders in the organization to consider succession planning in a more rigorous manner. The concept of potential is difficult to define for many organizations, and it will vary according to different positions and leadership levels. Charan et al. (2001) define potential as "*the kind of work that someone can do in the future ... is based on accumulated skills and experience as evidenced by past achievement, ability to learn new skills, and willingness to tackle bigger, more complex or higher-quality assignments.*"¹⁵⁵ This definition shows that there is a clear link between potential and performance, and that learning and achievement are key aspects of leadership development. Charan et al. (2001) note that success, achievement and learning are closely linked, in that the more people achieve, the more learning that takes place, and that the willingness to undertake new challenges increases as current challenges are met.¹⁵⁶

¹⁵⁵ *ibid.*, p. 6.

¹⁵⁶ *ibid.*

The assessment dimensions of performance and potential, and the relationship with the leadership pipeline are shown in Figure 3.

			Sustained Performance Level		
			Low	Medium	High
			(Not Yet Full Performance)	(Full Performance)	(Exceptional Performance)
Likely Future Work Contribution	High	(Turn Potential)	Not Yet Full/Turn	Full/Turn	Exceptional/Turn
	Moderate	(Growth Potential)	Not Yet Full/Growth	Full/Growth	Exceptional/Growth
	Minimal (Mastery - at current level)		Not Yet Full/Mastery	Full/Mastery	Exceptional/Mastery

Source: From Charan et al. (2001)¹⁵⁷

Figure 3. Potential-Performance Matrix

Figure 3 shows that within the leadership pipeline, individuals are considered to exist in one of nine classifications according to their sustained performance and potential. These categories can help the organization to recognize individuals in main four groups. First, the leader is ready for increased responsibility based on performance and potential, and should be promoted to the next leadership level – these people are flowing through the pipeline. Second, individuals are performing well at a certain level and developing their subordinates and are either not ready or do not seek promotion. These people make a valuable contribution to the organization and assist in keeping the pipeline open. Third, individuals who are not operating at the right leadership level, and need to be moved out of their current position. The organization can either choose to retain them at a lower level or terminate their services. These individuals are blocking the pipeline. Fourth,

¹⁵⁷ *ibid.*, p. 177.

individuals who are assessed as being ‘not yet full’ performance with ‘turn’ potential, should be considered as a special case, as it is likely that they have just completed a leadership passage and moved to a higher-level position. It is noted that people who have been in a position for less than six months should not be assessed with this matrix.

In summary, the leadership pipeline provides an organization with four key advantages. First, the pipeline supports the creation of a leadership organization where learning and teaching are highly valued. Second, the pipeline method relies on a two-dimensional assessment system that requires the leader to appraise an individual on performance and potential, which is clearly superior to a system that focuses only on performance. Third, the leadership pipeline helps the organization to promote a leadership-centered culture, and to recognize the value of talent within the organization. Fourth, the pipeline approach clearly identifies the leadership attributes required at each level, and this makes it easier to assess a leader’s performance against these attributes. Charan et al. (2001) note that to use the leadership pipeline approach effectively, the traditional approaches of leadership need to be challenged, and replaced by a multilevel, multidimensional concept of leadership that is the reality of modern business life.¹⁵⁸

E. ALTERNATIVE – ACCELERATION POOL METHOD

The concept of an acceleration pool is that a group of high-potential candidates are identified and given additional developmental opportunities. This approach has been used successfully in Pepsi, Ford, Conoco, and Delta Airlines.¹⁵⁹ Byham et al. (2002) note that the acceleration pool develops a group of high-potential candidates for executive jobs in general as opposed to targeting one or two handpicked people for each position.¹⁶⁰ This approach provides greater flexibility in succession planning, as members of the acceleration pool can be assessed for future appointments based on their developmental progress, readiness, and suitability for the executive position. While candidates are provided with a broad range of developmental activities, the organization is able to concentrate its resources into developing a few people as opposed to trying to

¹⁵⁸ ibid., p. 13.

¹⁵⁹ Byham, W.C., Smith, A.B., and Paese, M.J., opcit., p. 53.

¹⁶⁰ ibid., p. 17.

develop more individuals. Byham et al. (2002) note that in addition to stretch jobs and task force assignments that offer the best learning and highest visibility, pool members have an assigned mentor, receive additional executive education programs and organization action-learning sessions.¹⁶¹

The size of the acceleration pool will vary between organizations, and will depend on the relative maturity of the institution. Byham et al. (2002) note that in most acceleration pool organizations, the pool size ranges from one to two percent of the total population.¹⁶² Organizations experiencing raid growth may need larger acceleration pools than more mature companies. A feature of the acceleration pool concept is that multiple pools can exist within the organization. Byham et al. (2002) note that it is possible to stratify the various pools in order to differentiate between a select few who seem to have the greatest near-term potential from others who might need longer term development.¹⁶³ Pool stratification enables organizations to formulate larger acceleration pools that may be useful in retaining more people.

The acceleration pool process consists of five phases:

1. Nominating and identifying high potentials.
2. Diagnosing developmental opportunities.
3. Prescribing solutions to developmental opportunities.
4. Ensuring that development takes place and documenting development.
5. Reviewing progress and making new assignments.¹⁶⁴

It should be noted that a feedback loop exists between the third and fifth steps, which is necessary to review the individual's progress and refine developmental activities in readiness for the next appointment. Membership of the acceleration pool is voluntary and is normally limited for a specific period of between two and six years.¹⁶⁵ While in

¹⁶¹ ibid.

¹⁶² ibid., p. 67.

¹⁶³ ibid.

¹⁶⁴ ibid., pp. 20-21.

¹⁶⁵ ibid., p. 56.

the acceleration pool, the individual's progress will need to be carefully monitored in order to maximize the learning potential and to remove candidates who are not making the most of the opportunities. It should also be noted that the developmental activities provided to members of the acceleration pool are in addition to the organization's ongoing commitment to a broader range of developmental initiatives for all staff.

Identification of high-potential candidates will vary between organizations. Byham et al. (2002) suggest that organizations develop a uniform set of criteria against which candidates can be evaluated.¹⁶⁶ Table 6 shows a suggested list of essential and desirable criteria.

Table 6. Criteria For Identifying Candidates For An Acceleration Pool

Essential	Desirable
Minimum education requirements	Bottom-line results or track record
Minimum time with the organization	Developmental orientation and ability to develop others
Required supervisory or management experience	Modeling of organizational values
Performance appraisal ratings at a specific level – but only if the performance management system is effective	Interpersonal and leadership skills, and adaptability
Specific training, experiences, or skills	Strategic thinking (if the individual has had the opportunity)
International experience – may be difficult for some people	Business acumen and entrepreneurial ability
Geographic mobility; willingness to relocate	Motivation to be a strategic leader or otherwise perform at the target level

Source: From Byham et al. (2002)¹⁶⁷

This set of criteria provides a starting point for the creation of an organization's acceleration pool. In developing the criteria, human resources staff will be heavily involved in determining the criteria and developing assessment standards for leaders to use when rating their people. The assessment of the individual for identification for

¹⁶⁶ *ibid.*, p. 63.

¹⁶⁷ *ibid.*, pp. 63-64.

possible membership of the acceleration pool is separate from the normal performance evaluation system. It is recognized that the criteria proposed by Byham et al. (2002) is more heavily weighted towards an individual's potential than current performance.

An advantage of the acceleration pool concept is that after the high-potential candidates are identified, these individuals are critically assessed in terms of their strengths and developmental needs. This assessment focuses on four aspects: (1) organizational knowledge – what the individual knows; (2) job challenges – what the individual has done; (3) competencies (clusters of behavior, knowledge, technical skills, and motivations) – what the individual is capable of; and (4) executive derailers – the personality traits that might cause an otherwise effective senior leader to fail on the job.¹⁶⁸ Some of the potential executive derailers include:

- Approval dependent – seek and need praise or reassurance from others, particularly from people higher in the organization.
- Argumentative – skeptical, tense, and perhaps, paranoid or suspicious.
- Arrogant – overly self-assured and confident, and tend to be poor listeners, often dismissing ideas or feedback from others.
- Attention seeking – tend to be gregarious, charming, and persuasive, which can lead them to become melodramatic and self-promoting.
- Avoidant – preoccupied with own agenda and tend to be perceived as procrastinators or manipulative.
- Eccentric – overly creative to the point of being unorthodox or even odd.
- Imperceptive – not able to read others' behavior, intent, and motivations.
- Impulsive – impatient, unpredictable, and inclined to act without thinking of the consequences.
- Perfectionistic – micro managers who control and demand of others.
- Risk averse – indecisive, too deliberate, or reluctant to take unusual or unconventional actions.
- Volatile – difficulty controlling emotions.¹⁶⁹

Byham et al. (2002) note that the organization's senior leadership selects the specific areas under each of the four descriptors, based on the organization's future

¹⁶⁸ *ibid.*, pp. 23-24.

¹⁶⁹ *ibid.*, pp. 120-121.

direction and values.¹⁷⁰ Multiple methods are used to gather the information that forms the individual's assessment, including the use of psychological assessment centers, multi-rater feedback systems (such as 360-degree feedback) and interviews with key staff.

In order to make the acceleration pool work, it requires commitment from the executive leadership, support from the human resources department, from managers at different levels (who will be required to mentor and coach), and diligence by high-potential candidates to make the most of the developmental opportunity. It would be possible for an organization to combine acceleration pools with a leadership pipeline approach to ensure that leaders are developed for each leadership level. Byham et al. (2002) note the advantages of the acceleration pool method as compared to traditional replacement planning systems:

- More responsive and easier to administer.
- More focused on development.
- Higher level of involvement and buy-in from pool members and managers (mentors) alike.
- Greater integrity and fairness - more open approach, less “old-boy network”.
- More flexible – the system takes individual needs into account.
- More focused on retaining people, as opposed to simply replacing them.
- Linked to business plans and strategies.¹⁷¹

F. ISSUES OF TALENT MANAGEMENT

Both the leadership pipeline construct and the acceleration pool concept are clearly linked with the organization developing a more coherent talent management strategy. While the leadership pipeline and acceleration pools concentrate on selecting and developing individuals for more demanding appointments, the concept of talent management extends to all managers at all levels. While managers who are exceeding performance expectations and clearly showing potential for advancement should be promoted, managers who are under-performing or with little potential should also be carefully managed.

¹⁷⁰ *ibid.*, p. 24.

¹⁷¹ *ibid.*, pp. 46-47.

Talent management will be critical to the organization's performance and long-term survivability. Organizations that do not have a refined talent management strategy will experience difficulty in attracting and retaining high quality people. There are four key aspects to an effective talent management strategy:

1. Strong employee value proposition.
2. Desirable aspects that attract and retain leaders and other key people.
3. Differentiation of managers.
4. Talent management value chain.

1. Strong Employee Value Proposition

The concept of an employee value proposition helps the organization define the reasons why people would be attracted to and remain within the organization. Michaels, Handfield-Jones and Axelford (2001) define an employee value proposition as:

The holistic sum of everything people experience and receive while they are part of a company – everything from the intrinsic satisfaction of the work to the environment, leadership, colleagues, compensation, and more. It's about how well the company fulfills people's needs, their expectations, and even their dreams.¹⁷²

The stronger the proposition, the more success the organization will have in attracting and retaining high quality people. The employee value management proposition is important because it is the high quality people that the organization will need to develop for its future leadership.

Each organization should have an employee value proposition that is specific to the institution and it should be differentiable from the propositions of other organizations. The proposition should relate to the organization's culture and be aligned with the leadership framework. The employee value proposition should be consistent with the organization's strategy. These consistencies will be important to ensure a consistent approach to leadership and how the organization values its people.

¹⁷² Michaels, E., Handfield-Jones, H., and Axelford, B., The War For Talent, First Edition, Harvard Business School Press, 2001, p. 43.

2. Desirable Aspects That Attract And Retain Leaders And Other Key People

Michaels et al. (2001) draw on the results of the McKinsey and Company War for Talent 2000 Survey of middle and senior managers and find that managers want five key things from an organization.

1. Managers want exciting, challenging, and exciting jobs and they want to feel passionate about their work.¹⁷³ They want to be inspired by the organization's leadership, vision, and given the opportunity to be challenged.
2. Managers want to work for great companies that have great leaders and cultures that emphasize a performance orientation and an open, trusting environment.¹⁷⁴ Open communication and merit based promotion is important.
3. People are looking for wealth-creation opportunities and they want their individual contribution recognized in their pay.¹⁷⁵ However, rewards extend beyond pay and compensation, and include intrinsic factors such as gratification and recognition for the value that they provide to the organization.
4. Managers want the company to help them to develop their skills.¹⁷⁶ This is particularly important for knowledge workers in a business environment that is constantly changing. This is consistent with the notion of a leadership organization that places a high value on learning and teaching.
5. Managers want a job that would allow them to meet their personal and family commitments.¹⁷⁷ This is important because it helps people to lead

¹⁷³ ibid., p. 46.

¹⁷⁴ ibid.

¹⁷⁵ ibid.

¹⁷⁶ ibid.

¹⁷⁷ ibid., p. 47.

a balanced lifestyle where work is only one aspect that the individual needs to consider.

These five aspects are consistent with developing a leadership-centered culture. Leadership is a critical aspect in developing an organization that people want to work for – it also requires a systematic approach to selection and development of key people. It is important that these aspects are also captured in the employee value proposition.

3. Differentiation Of Managers

Figure 4 shows how an organization can use the potential-performance matrix to manage its people. There are two important aspects of this construct. First, talent is not evenly distributed between the low and high dimensions – typically, top 10 to 15 percent are rated as high with a similar portion in the bottom. Second, the value of the matrix is that it shows the deficiency of a single-dimension assessment system based on performance or potential only. If a single dimension is used then high-quality people will be overlooked by the organization.

		Performance Level		
		Low	Medium	High
Potential		High	C Give warning, provide coaching and review job suitability	A Plan next move, provide extra coaching
		Medium	B Keep these people at their current level	A Identify next developmental opportunity
Low		C Manage out		

Source: From Michaels et al. (2001)¹⁷⁸

Figure 4. Potential-Performance Matrix – Decision Alternatives

¹⁷⁸ ibid., p. 149.

In differentiating between the different talent pools, Michaels et al. (2001) use three generic groups. The top performers, “A’s” represent the future leadership of the organization. It is important that these people are developed and rewarded in order to retain them. Leaders need to maintain a high interest in the development and progress of these high-performers. As these people may have highly developed talents, they will need to feel that they are challenged at work and that the organization values their input. If these aspects are missing then these people will leave. Michaels et al. (2001) note that the “B” performers represent about 60 to 70 percent of the organization’s talent pool and that these people are vital to the functioning of the organization.¹⁷⁹ Some of these people will move into the “A” pool and it is impossible to advance the organization with only the “A” pool. Michaels et al. (2001) note that while “A” players will be given more opportunities, leaders need to pay close attention to motivating and affirming the value of the “B” players within the organization by:

- Showing genuine interest and caring for people and telling them that they are valued.
- Listening carefully and attentively to what they have to say.
- Praising their distinctive individual strengths.
- Recognizing their accomplishments with new opportunities.
- Trusting them.¹⁸⁰

The final group, the “C” performers need careful management. These people deliver barely acceptable results and there may be a variety of reasons for their potential-performance assessment. However, to keep these people in key positions can be disastrous for the organization. Michaels et al. (2001) state that keeping a “C” player in a key role perpetuates a vicious cycle within the organization where the high performers leave and it becomes more difficult to attract quality people.¹⁸¹ However, the damage is far greater as these people are unable to develop others around them, since they block opportunities for advancement and they lower overall productivity. The retention of

¹⁷⁹ ibid., p. 133.

¹⁸⁰ ibid., pp. 134-135.

¹⁸¹ ibid., p. 137.

these people would make it difficult to establish either a leadership pipeline or acceleration pools within the organization.

4. Talent Management Value Chain

The talent management value chain concept helps the organization to link its leadership framework with its strategy for selecting and developing leaders within the organization. It requires commitment from the senior leadership and support from the human resources staff to ensure that a viable chain can be established.¹⁸² The talent management value chain consists of four steps:

1. Definition of the leadership framework (including an organizational leadership model that is aligned to future strategy), employee-value proposition and what makes the organization unique.
2. The identification of the organization's talent in terms of potential and performance. Talent pools need to be established and candidates for accelerated development opportunities should be identified.
3. Development activities need to be designed and implemented. The developmental activities will be different for each individual and the leadership passage that they are about to enter. Ideally, these should meet the requirements of each individual. Developmental activities require the support of a wide range of people in the organization.
4. The final step is the formulation of a strong pool of genuine candidates for senior positions. These people will be consistent high performers who have the experience and skills to be successful at the next level. Developmental activities have been purposefully designed to make these people fully competent more quickly.

G. PROPOSED SELECTION FRAMEWORK

The organization's selection framework should be consistent with the organization's long-term strategy and should be used to underpin selection and

¹⁸² The concept of the talent management value chain was gleaned from an interview with Mr. Barry Leskin, former Chief Learning Officer at Chevron-Texaco, on November 29, 2002.

development activities. In reviewing emerging concepts such as the leadership pipeline and acceleration pools, it is clear that selection and development activities are closely related. The selection framework should consider the organization's developmental activities and how individuals will be selected to participate in them. Recognizing the close link between selection and development should assist the organization in promoting a more consistent approach with regards to building leadership within the institution. While each organization should develop its own selection framework, the following features should be considered:

1. Each organization should clearly identify the leadership levels and articulate the attributes of each level in terms of skill requirements, time allocation, and values. Embedding the leadership pipeline in the organization will help the organization to define its future leadership needs. These leadership levels should be consistent with the organizational leadership model.

2. The organization should establish a two-dimensional assessment system that rates both potential and performance. By considering potential and performance, the organization is better placed to manage its talent. One-dimensional systems can miss high potential candidates, high performance candidates or both.

3. The organization should develop a uniform set of criteria to measure potential within the organization. This will be the domain of the human resources staff but will require input from the organization's top executive. Additionally, the human resource staff will need to monitor how the criteria are applied to ensure consistency across the organization.

4. An intermediate assessment step is required between selection and developmental activities. In particular, developmental areas and potential executive derailers need to be identified. This will form the basis of the individual's personal development plan.

5. Acceleration pools should be established to provide enhanced developmental opportunities for selected high-quality candidates. The use of these pools should be for a limited duration and with specific outcomes in terms of leadership levels and not specific appointments.

6. The executive is committed to talent management. As potential and performance will change as people develop and are given new challenges, this will need to be reflected in the two-dimensional assessment system. This will ensure that accurate decisions can be made about who to promote and who to manage out.

H. SUMMARY

The selection of senior leaders is a key issue for all organizations. Organizations that recognize that the selection of key leaders can influence the perceived worth of the organization have moved towards succession planning systems as opposed to the more traditional replacement methods. The succession planning system provides a steady stream of candidates for senior appointments. The notion of an organization developing its own leaders is critical for its long-term survivability. While external recruitment is useful as a short-term tactic, this option may not be available to all organizations. Ultimately, the selection goal is to place the best candidates in the executive. Selection and development activities need to be considered concurrently.

In order to select the best candidates for senior appointments, organizations need to define leadership levels and corresponding attributes and expectations at each level. This is necessary so that the organization can assess both the potential and performance of individuals. The use of a two-dimensional approach is considered to be superior to a single-dimension assessment system that concentrates on performance. The key aspect in defining the requirements of different leadership levels is to ensure that these requirements are consistent with the organizational leadership model and culture.

The concepts of the leadership pipeline and acceleration pools require the two-dimensional assessment methodology. These methods can be combined with a talent management strategy that provides a more rigorous approach to examining the quality of the organization's people. While developmental activities prepare individuals for more senior positions, individuals place a high value on learning and developing their own skill sets. Organizations that have effective talent management strategies and value developmental activities may find it easier to attract and retain high-quality people. This approach is consistent with developing a leadership-centered culture that places a high value on learning and teaching.

VII. DEVELOPMENT OF SENIOR LEADERS

A. INTRODUCTION

Leadership development is defined as the expansion of a person's capacity to be effective in leadership roles and processes.¹⁸³ McCall (1998) states that it is impossible not to develop people,¹⁸⁴ as many of the developmental activities relate to work experiences and what people learn from them. People will learn and develop their own leadership frameworks based on their own experiences. Poor role models and inappropriate leadership examples could lead to dysfunctional leadership development. Many organizations do not view leadership development as one of their core business activities, and therefore, may not invest heavily in leadership development. However, formal leadership development is a central issue for organizations that view themselves as either a leadership, learning or teaching organization.

Better organizations recognize that leadership development is part of a framework that integrates the future strategy, organizational leadership model, culture, and leadership selection. As leadership development resources are limited in all organizations, selection decisions based on performance and potential are important in identifying people for further development. These developmental activities must be aligned to the future strategy and be consistent with the organizational leadership model.

McCall (1998) states the case for strategic executive development as:

- Leadership makes a difference. The more change that lies ahead, the more important effective leadership will be. The quality of leadership can be improved through development.
- Companies can't always find appropriate outside leadership talent and buy the leadership they need. If they do, it is expensive and does not come with a money-back guarantee.
- Derailments are expensive. The higher the level, the more expensive they are. There are many false positives.

¹⁸³ McCauley, C.D., Moxley, R.S., and Van Velsor, E., (Eds.), The Center For Creative Leadership – Handbook Of Leadership Development, First Edition, Jossey-Bass, 1998, p. 25.

¹⁸⁴ McCall, M.W. Jr., High Flyers: Developing The Next Generation Of Leaders, First Edition, Harvard Business School Press, 1998, p. 1.

- Survival of the fittest is not the same thing as survival of the best. Leaving leadership development to chance is foolish.
- Most of the cost of development is already sunk. Not to reap a return on the investment is bad business.
- Creating a learning environment is consistent with business strategies that involve having employees take on more responsibility, assume more risk, and solve problems.
- It is good business practice. Investors consider the quality of a corporation's management. Talented people prefer to work for companies that invest in their development. Customers prefer to work with corporations that can solve their problems. Companies like that have strong cultures that place high value on leadership.¹⁸⁵

Leadership development is not a quick fix to an organization's leadership concerns, but rather it is a systemic, organic process. Leadership development needs to be part of the organizational culture. It is not achieved by the completion of a single executive education program, but rather it builds on a variety of experiences and responses to personal challenges. Development is not just training; it involves job experiences, coaching, feedback, and mentoring.¹⁸⁶ Leadership development is an on-going process that is consistent with the leadership principle of life-long learning, and it takes time and requires support and commitment from the leaders within the organization. McCauley, Moxley and Van Velsor (1998) note that leadership development processes that integrate various experiences and embed them in the organizational culture are more likely to be effective.¹⁸⁷ Leadership development is about making leaders more effective, in a shorter period of time. This chapter examines ten aspects of leadership development:

1. A General Model Of Leadership Development
2. Personal Motivation
3. Assessment Of Personal Development Needs
4. Job Experiences

¹⁸⁵ ibid., p. 185.

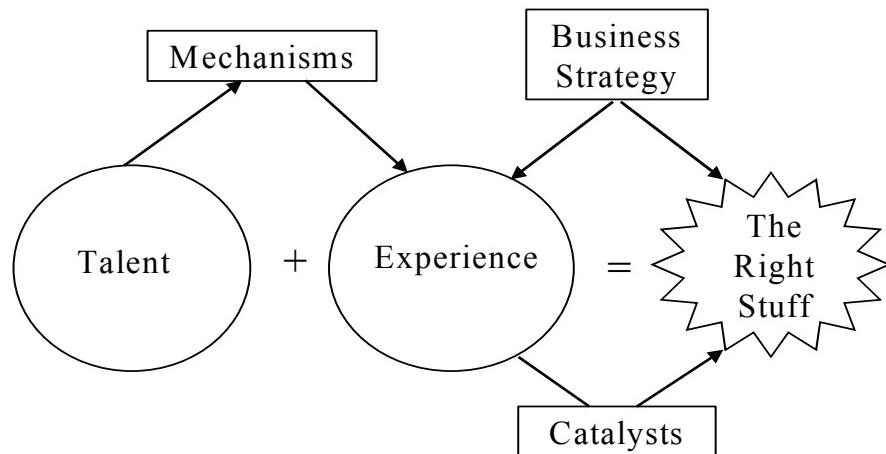
¹⁸⁶ Michaels, E., Handfield-Jones, H., and Axelford, B., opcit., p. 99.

¹⁸⁷ McCauley, C.D., Moxley, R.S., and Van Velsor, E., (Eds.), opcit., p. 25.

5. Formal Education And Training
6. Organization Specific Action Learning Programs
7. Mentoring
8. Coaching
9. Feedback And Reinforcement
10. Integrated Leadership Development Framework

B. A GENERAL MODEL OF LEADERSHIP DEVELOPMENT

McCall (1998) provides a general model of leadership development, which develops clear links with the organization's strategy, talent, experiences, mechanisms, and catalysts. This model is shown in Figure 5. McCall (1998) notes that the essence of the approach is simple: people with ability to learn from experience, when given key experiences as determined by the business strategy, will learn the needed skills if given the right level of support.¹⁸⁸



Source: From McCall (1998)¹⁸⁹

Figure 5. A General Model For Developing Executive Talent

¹⁸⁸ McCall, M.W. Jr., *opcit.*, p. 188.

¹⁸⁹ *ibid.*, p. 189.

The elements of the model are:

1. **Talent.** The organization needs processes to identify and nurture talent. The identification of talent is determined by performance and potential for executive positions.

2. **Mechanisms.** Organizational mechanisms are linked to succession planning to ensure that highly talented individuals are given the necessary experiences in preparation for future appointments. The organizational leadership model and leadership pipeline construct are examples of supporting mechanisms.

3. **Experience.** Developmental experiences include education, job rotation, short-term assignments, coaching, mentoring, and other activities. A broad range of experiences is required to expand the future executive's perspective on the organization and its likely needs and demands.

4. **Business Strategy.** The business strategy provides valuable insights into the type of experiences that are needed by individuals. The strategy will ensure that the talented person, if given the right experiences should be suitable for a role in the organization's executive ranks.

5. **Catalysts.** McCall (1998) identifies three catalysts for learning: (1) improving information; (2) providing incentives; and (3) supporting change.¹⁹⁰ The underlying principle for these catalysts is that change is not easy, and that by providing information, incentives, and continual support, the chances of success for leadership development are improved. Existing leaders have a responsibility to provide these catalysts, and this is consistent with their learning and teaching roles. Catalysts should also be supported by the organization's leadership framework.

6. **“The Right Stuff”.** The combination of the other five elements will result in individuals being ready to assume higher leadership positions in the organization. McCall (1998) refers to this as “The Right Stuff”. The identification of “The Right Stuff” can be applied at all levels of the leadership pipeline, and it will be useful in predicting future success.

¹⁹⁰ ibid., p. 181.

McCall (1998) notes that while the model is simple, putting it into practice is no small accomplishment.¹⁹¹ This model relies on the organization establishing and maintaining a holistic and integrated approach that combines the respective business and organizational strategies with human resource plans and mechanisms. The identification of leadership levels within the organization, and the use of an organizational leadership model can assist in developing this integrated framework.

C. PERSONAL MOTIVATION – IT STARTS FROM WITHIN

As leadership development is a component of personal development, the individual must be willing to undertake and complete developmental activities. A person with a low motivation to learn, or who is not interested in personal development is a poor candidate for leadership development. In the talent identification process, it is important to assess the individual's capacity and orientation to be coached, and ultimately, to be a mentor to others. Developmental opportunities should be given to people with the best potential, which includes a strong desire to learn.

The individual must maintain an active role in his or her own personal development. McCall (1998) identifies the reasons why individuals have to take responsibility for their own development:

- There is no standing still for organizations or for people in them. Change is a constant for the foreseeable future.
- When situations change, strengths can become weaknesses; weaknesses that did not matter before can become critical; and arrogance based on past success can become dangerous.
- Your organization probably does a lousy job of developing people.
- As long as the organization has or can get enough of the talent it thinks it needs, it does not care if it is you in particular.
- The implied lifetime employment contract no longer exists. Even satisfactory performance is not enough to guarantee a job for life.
- Organizations may make change difficult, but the real obstacles to change are within you.
- It is the right thing to do.¹⁹²

¹⁹¹ *ibid.*, p. 188.

¹⁹² *ibid.*, p. 204.

A critical component of the personal leadership development process starts with self-awareness and introspection. Personal strengths and weaknesses, and aspects requiring further development should be identified clearly as part of this critical introspection process. Coaches and mentors can assist individuals to identify these aspects as part of the on-going leadership development process. Different tools, including multi-rater instruments such as 360-degree feedback, can be used to assist in the self-awareness process. The process of critical introspection helps the individual to remove personal barriers to leadership, which Hesselbein (2002) identifies as:

- Lack of formal, articulated personal goals and a road map of how to meet them. These should be written and close at hand, not just rolling around in your head.
- No clear understanding of one's own strengths and areas to be strengthened (this calls for input from others, plus a plan for improving).
- Believing that there is something called "business ethics," that there can be two standards: one for our personal lives and one for our professional lives.
- Lack of generosity – not sharing ideas, time, encouragement, respect, compliments, and feedback with others – resulting in exactly the same treatment from them.
- Leading from the rear – being tentative, fence sitting, never taking responsibility.
- Always stressing what others cannot do well rather than building on their strengths, what they do uncommonly well.
- Playing "Chicken Little" instead of "The Little Engine That Could." Lack of positive approach to serious issues. Failing to present suggested solutions along with the problem.
- Not taking charge of one's own personal learning and development.¹⁹³

There are two other important aspects of an individual's personal orientation to learn. First, an individual's motivation or willingness to participate in developmental activities can vary over time, and could be influenced by other factors outside of the immediate work environment. The key is to recognize that individuals who have talent and show potential will have different needs and these will vary over time. Individual needs assessment should be used to identify the areas requiring further development.

¹⁹³ Hesselbein, F., opcit., pp. 38-39.

This needs assessment will be used to help match the individual's needs to the development experiences that are available, thereby maximizing the benefits to the individual and the organization. Organizations should recognize this principle and ensure that flexibility exists in their leadership development programs to cater to individual needs. Second, people are not infinitely developable, and even motivated ones may reach a point of diminishing marginal returns. Organizations should recognize that this fact in order to ensure that leadership development resources are appropriately allocated.

D. ASSESSMENT OF PERSONAL DEVELOPMENT NEEDS

When highly motivated and talented people have been identified for further leadership development, there is a need to align the needs of both the individual and organization. A necessary pre-condition is that the individual is well suited to the organization's culture and leadership framework. An individual who is a poor organizational fit may have difficulty in being fully committed to the development plan. The personal leadership development plan must meet the individual's needs and be relevant to the organization's future direction. This link between individual and organizational needs must be established prior to the implementation of any personal development plan. Byham et al. (2002) identify six tasks that high-potential individuals must accomplish:

1. Understand the organization's leadership descriptors for the appropriate leadership level (in the four categories of job challenges, organizational knowledge, competencies, and executive derailers) and why they are important.
2. Understand the findings from personal assessment activities (such as profiling, or simulation tests, if given) as they relate to the executive descriptors.
3. Consider how the assessment results relate to past feedback from performance appraisal discussions, 360-degree instruments, and comments from family and friends.
4. Develop a list of strengths and development needs in each of the four executive descriptor categories (job challenges, organizational knowledge, competencies, and executive derailers).

5. Recognize how the executive descriptor data fit together.
6. Prioritize developmental needs in each of the four executive descriptor categories.¹⁹⁴

By completing these tasks, individuals will gain a better appreciation of the demands of more senior positions, and of their own learning requirements. This process also draws on critical introspection and analysis of personal characteristics. If these steps are bypassed, development can still occur, however it is likely that the development plan will be poorly matched to the needs of the individual and the organization. Individuals and organizations cannot afford to allocate time and resources to support inadequate developmental plans. The individual needs assessment is the first step of the leadership developmental process, and it is critical to maximizing the success of the different learning opportunities.

E. JOB EXPERIENCES

Job experiences are the most prevalent of the leadership development activities available to organizations. Advantages of job experiences include immediate organizational relevance and the relatively low cost compared to executive education or coaching. Organizations who value job experiences as part of the leadership development program can provide individuals with different challenges in order to prepare them for increased responsibility. It is recognized that some job experiences, such as presentations to the executive team, or invitations to participate in a new task force, could occur with little notice or formal planning, and these should be integrated with the other leadership development plans that the organization has identified for the individual. The most important factor is that the organization encourages a culture that supports the use of job experiences (both planned and opportunistic) as a means of developing future executive talent. Job experiences can be categorized as either short-term experiences or job rotations.

¹⁹⁴ Byham, W.C., Smith, A.B., and Paese, M.J., opcit., pp. 159-160.

1. Short-Term Experiences

Short-term experiences are of limited duration and are usually completed in addition to existing work commitments. Such experiences are also called stretch assignments. Byham et al. (2002) note that short-term experiences are particularly helpful in building organizational knowledge, but they also can provide job challenges, or an opportunity to improve a competency or derailler.¹⁹⁵ Such opportunities can vastly expand an individual's network or internal contacts – often an important factor in future success.¹⁹⁶ While short-term experiences predominantly occur within the organization, external sources can also provide excellent opportunities. Short-term experiences should help the individual to achieve certain goals identified in the personal development plan.

Byham et al. (2002) note that short-term experiences within the organization can include:

- Observe a unique role model (e.g., an excellent presenter).
- Obtain different perspectives (e.g., from different divisions within the organization, or from other people in the same industry).
- Coordinate a politically or culturally sensitive event; such as a visit from an overseas delegation.
- Represent the organization at a conference.
- Participate in a manufacturing, financing, or accounting council that spans the organization.
- Participate on a team that briefs the chairman on questions that might arise at stockholders meetings.¹⁹⁷

External experiences can be gained through working with suppliers, customers, professional organizations, and community work. Example activities include:

- Visit a customer's site or supplier's facility.
- Work on a customer's new product development committee.
- Negotiate with a customer or vendor.
- Benchmark how exemplary companies handle a business issue or process (individually or as part of a team).

¹⁹⁵ ibid., p. 176.

¹⁹⁶ ibid.

¹⁹⁷ ibid., pp. 176 and 208-209.

- Serve on a professional committee that is developing guidelines, policies, or procedures.
- Critique articles submitted for a professional publication.
- Lead a strategic planning committee for a community organization.
- Work with the local school system to ensure that graduates have the skills they will need for the job market.¹⁹⁸

It should be noted that the range of possibilities for short-term experiences is endless and that the previous lists are a selected sample of the types of activities that can be undertaken. While internal experiences are easier to coordinate and have greater visibility within the organization, the value of external experiences should not be discounted. External experiences may be more valuable to the individual in developing a broader perspective on different issues. Ultimately, this will benefit the organization, as potential leaders will have been exposed to a wider range of people and ideas outside of the company.

Short-term experiences can be used to help individuals to challenge themselves continually, and to expand the charter of their current job. Michaels et al. (2001) note that this strategy helps challenge people to reconceptualize their roles, to reorient their responsibilities, and to do the job as it has never been done before.¹⁹⁹ It also highlights the dynamic nature of leadership positions and how leaders should constantly strive to improve themselves. In using short-term experiences, organizations must adopt a flexible approach and individuals must remain alert for new opportunities. As some opportunities can occur at short notice and may be unique, organizational work practices should allow talented individuals to participate in these activities. Organizations and managers need to balance the current work demand and developmental priorities. Individuals should use their personal development plan to determine how the short-term experience will contribute to their goals.

2. Job Rotations

Job rotations form an integral part of the human resources practices within many organizations, including the military. The central concept of a job rotation is to move

¹⁹⁸ *ibid.*, pp. 209-210.

¹⁹⁹ Michaels, E., Handfield-Jones, H., and Axelford, B., *opcit.*, p. 103.

individuals to new positions for a limited period of time, typically between one and three years, to enable them to develop new competencies and prepare them for increased responsibility. The key requirement for effective job rotation is to match the individual's needs with those of the organization. While it is difficult to achieve this objective for all individuals in the organization, high potential candidates should receive greater priority to ensure that they are given the best development opportunities. Job rotations can be used to provide individuals with both line management and staff experience. Ideally, job rotations should be used to allow an individual to meet specific developmental needs.

Byham et al. (2002) note that job rotations can include:

- Responsibility for a major or complex project.
- Expatriate assignments.
- Major task force assignments.
- Working in a supplier or customer organization.²⁰⁰

Experiences in major line assignments represent an important part of the development of future executives. McCall and Hollenbeck (2002) note that major line experiences typically include:

- Business turnarounds.
- Building or evolving a business.
- Joint ventures, alliances, mergers, or acquisitions.
- Business start-ups.²⁰¹

Job rotations are particularly useful in broadening an individual's experiences and perspectives. The use of overseas assignments helps individuals gain greater cultural awareness and understanding of the issues associated with working in different countries. Job rotations that expose individuals to different functions within an organization are also useful in expanding the leader's experience base. It should be noted that job rotations are considered to be lateral moves at the same leadership level, in preparation for increased leadership responsibility.

²⁰⁰ Byham, W.C., Smith, A.B., and Paese, M.J., *opcit.*, p. 176.

²⁰¹ McCall, M.W. Jr., and Hollenbeck, G.P., The Lessons Of International Experience: Developing Global Executives, First Edition, Harvard Business School Press, 2002, p. 110.

F. FORMAL EDUCATION AND TRAINING

Formal education and training activities provide viable options for developing leaders. As formal education and training programs are more expensive than job experiences, investment in such activities should be carefully considered. Education and training programs should be used for specific objectives in the personal development plans that cannot be easily achieved through job experiences. McCall (1998) notes that organizations which do a good job of developing leadership often have a strong commitment to formal education as well (Kotter, 1988).²⁰² For some organizations, the use of external education and training providers is seen as the easy executive development alternative, as the company is not heavily involved in designing the program and is only responsible for paying the bills.²⁰³ For other organizations, education and training programs are an important part of the culture, particularly if the institution views itself as a learning organization. Education and training should be used to meet organizational objectives and to prepare individuals for increased responsibility. Such activities also tend to be highly valued by the individual, and can be considered as part of the organization's reward systems.

Education programs are used to improve an individual's knowledge, perspective, and thoughts, as opposed to developing a specific skill. Knowledge and values gained through educational experiences will be useful to underpin further skill-based training. McDonald-Mann (1998) notes that the specific purpose of training is to improve performance in specified skill areas.²⁰⁴ Michaels et al. (2001) note that skills training should be immediately relevant, timely, high quality, and reinforced on the job.²⁰⁵ While the return from training should occur soon after the event, returns on education may take longer to be realized. As education and training programs serve different purposes, they should be used in a complementary manner.

202 McCall, M.W. Jr., opcit., p. 75.

203 McCall, M.W. Jr., and Hollenbeck, G.P., opcit., p. 144.

204 McDonald-Mann, D.G., Skill-Based Training, from McCauley, C.D., Moxley, R.S., and Van Velsor, E., (Eds.), opcit., p. 108.

205 Michaels, E., Handfield-Jones, H., and Axelford, B., opcit., p. 121.

Byham et al. (2002) note that training can be split into three categories.²⁰⁶

1. **Transition Training.** In moving from one leadership level to the next, training can assist individuals to become effective faster in their new role. Such training can help individuals to develop the skills, values, and abilities required of the new level. Transition training is important at all levels, with the training emphasis shifting from one leadership level to the next. At junior leadership levels, the training concentrates on the skills required, whereas at the more senior levels, greater emphasis is given to the roles that the executives will be required to fulfill. Byham et al. (2002) note that an increasing number of managers are reaching strategic leadership positions without a clear understanding of what they are responsible for – the roles they must play to assure organizational success – and if they know the roles, they aren't very good at them.²⁰⁷ Organizational restructuring and the removal of organizational layers have removed many of the opportunities for junior and middle managers to view executive roles, and to appreciate the demands and challenges for senior executives.

2. **Prescriptive Training.** Whereas transition training focuses on the needs of a new leadership level, prescriptive training is designed meet the individual's specific needs in certain business areas. Topics covered in prescriptive training programs include:

- Strategic decision-making and creating strategy.
- Strategic alliances.
- Executing business strategy.
- Planning in a changing world.
- Global effectiveness.
- Managing change and innovation.²⁰⁸

Byham, et al (2002) note that prescriptive needs of middle and senior managers can be met by attending short programs run by universities or training companies, and by participating in one-on-one training.²⁰⁹ Key concerns with satisfying prescriptive needs are the choice of the training provider, and the relevance of the program to meeting both

²⁰⁶ Byham, W.C., Smith, A.B., and Paese, M.J., opcit., p. 219.

²⁰⁷ ibid., p. 223.

²⁰⁸ ibid., p. 225.

²⁰⁹ ibid.

organizational and individual needs. Ideally, courses should be flexible in delivery and content, so that they can be modified to meet the identified needs. Byham, et al (2002) suggests that short, open enrollment university programs might provide better training than conventional university courses. The main reason is that conventional university courses lack the flexibility required by most organizations. Shorter courses are also attractive to organizations as time away from the workplace is reduced, and the knowledge and skills gained from the training can be applied in a shorter time frame.

3. **Special Training.** Special training activities are specifically designed to meet the individual's developmental needs and are complementary to transition and prescriptive training. Typically, special training activities are provided to high potential individuals as opposed to all managers. These training activities allow high potential individuals to interact with senior executives on a range of issues of importance to the organization. Typically, special training sessions are conducted within the organization and may draw on the use of external facilitators for specific topics. General Electric regularly uses this approach for high potential individuals by conducting special training sessions at their Crotonville Leadership Development Center. Features of these programs include:

- Training sessions run for one to two weeks and are held off-site.
- Participants value the opportunity to get acquainted with top management and hear their ideas on the organization's direction.
- Sessions have an explicit goal of helping participants get to know each other and network. This helps to develop interpersonal competencies.
- Provide short training nuggets – just-in-time, just enough. The new knowledge and skills can be applied immediately, and hence save teams time as they pursue their goals.
- Pool members typically want to get the most out of the experience and expect to work day and night. It is also important to allow time for exercise or break time, and to allow managers to check on their “back home” work responsibilities.
- Teams are assigned to develop a unique solution to a challenging business issue.

- People will feel that they are special and that the organization cares about them. The use of high-profile people to make presentations and lead discussion is one way of achieving this goal.²¹⁰

Formal education and training can make an important contribution to the development of leaders within the organization. Such activities should be aligned to individual and organizational needs. McCall (1998) notes:

Company-sponsored training and external programs have been for too long the focal point of management and executive development. Although formal programs can be significant developmental events, educational programs are clearly complementary or supplementary to on-the-job experiences, which in turn are only part of a much larger and more complicated process of development.²¹¹

Thus, formal education and training initiatives should be integrated with job experiences and other developmental activities.

G. ORGANIZATION SPECIFIC ACTION LEARNING PROGRAMS

Charan et al. (2001) note that action learning involves establishing teams of leaders who are on the same leadership level and assigning them a highly challenging task related to a specific business objective.²¹² Action learning projects have become more popular than other executive education programs because of the direct relevance of the project to the organization. Byham et al. (2002) note that the best topics cut across organizational unit functions and deal with issues that are popularly accepted as in need of repair, or that obviously fit with the organization's strategic objectives.²¹³ In essence, action learning is a special type of stretch assignment that is given to a group of high potential leaders, to develop a range of solutions to a particular issue of immediate importance to the organization. Byham et al. (2002) state that action-learning teams should be diverse and include people from throughout the organization, with appropriate

²¹⁰ ibid., pp. 231-232.

²¹¹ McCall, M.W. Jr., opcit., p. 75.

²¹² Charan, R., Drotter, S.J., and Noel, J.L., opcit., p. 160.

²¹³ Byham, W.C., Smith, A.B., and Paese, M.J., opcit., p. 234.

race and gender representation.²¹⁴ General Electric, Citibank, Arthur Andersen, and Johnson and Johnson have successfully used action-learning programs.

Charan et al. (2001) identify three key differences between action learning and other team-based developmental activities:

1. The goals and structure of action learning programs are broad based. A significant amount of time is given to learning, teambuilding exercises, coaching, and reflection.

2. The real business challenges integrate with personal growth and team activities so that participants take action learning seriously. The end of the process often involves a presentation to a top executive, and careers are impacted by leadership performance within the program.

3. A coach facilitates the process, guiding teams and providing individuals with feedback and opportunities for learning and reflection.²¹⁵

While action-learning programs address many of the deficiencies of education and training initiatives, they need to be introduced selectively as they may not be well suited to all organizations, or to all situations. McCall and Hollenbeck (2002) note that some organizations find that action learning programs are time consuming, expensive, and difficult to sustain.²¹⁶ While action-learning programs can provide benefits to the organization, they should be implemented in a planned manner. Conger and Benjamin (1999) identify five design factors for effective action-learning programs:

1. **Careful Selection Of Learning Projects.** Learning projects should benefit both the individual and the organization. Projects must satisfy this criterion. The projects must provide an opportunity for individuals to be challenged and stretch their perspectives. Within the organization, project support includes executives being comfortable with less-experienced leaders tackling problems of strategic importance.

²¹⁴ ibid.

²¹⁵ Charan, R., Drotter, S.J., and Noel, J.L., opcit., pp. 160-161.

²¹⁶ McCall, M.W. Jr., and Hollenbeck, G.P., opcit., p. 144.

2. Objectives And Outcomes Must Be Clearly Defined. Conger and Benjamin (1999) state that before a program occurs, there must be widespread agreement on objectives and outcomes.²¹⁷ If this does not occur, executives have not defined their expectations, and more importantly the team will be uncertain about what is required. The definition of objectives and outcomes can also assist in team selection. The number of objectives should be kept to a minimum.

3. Multiple Opportunities For Learning. Conger and Benjamin (1999) note that action-learning projects are vehicles for learning, with feedback and reflection as the primary mechanisms.²¹⁸ Feedback should be objective and can be provided from sources including coaches, facilitators, team members, and senior managers. The better programs integrate learning opportunities with deadlines for achieving outcomes. This helps to improve the realism within the action-learning project.

4. Active Involvement By Senior Management. Senior management should enthusiastically support action-learning projects. Executives must actively endorse the projects and provide constructive feedback to team participants. Conger and Benjamin (1999) further note that senior management's attention to active learning experiences and their involvement in critical reviews has significant symbolic and performance consequences.²¹⁹ Positive messages include the importance and value of such programs, and rewards for participants.

5. Expert Coaching And Facilitation. Conger and Benjamin (1999) note that because a large part of the learning process occurs in a team-based environment, facilitators, coaches, and instructors play a crucial role in helping teams to learn and reflect.²²⁰ Facilitators can help team members to deal with complexity and offer ways of helping the group to deal with the large amount of information. Organizations can either use internal or external facilitators. The choice of facilitator depends on what the organization is trying to achieve from the project. Internal facilitators may have additional insights about the organization and may be useful in helping the team develop

²¹⁷ Conger, J.A., and Benjamin, B., opcit., p. 221.

²¹⁸ ibid., p. 223.

²¹⁹ ibid., p. 227.

²²⁰ ibid.

a broader view. External facilitators may be more objective as they are not immersed in the normal operation of the organization.

Conger and Benjamin (1999) highlight three problems with action learning-programs:²²¹

1. **Operating Groups Are Not Fully Committed.** Organizational support must exist for the action-learning project and this comes from the affected business units. It is important that these units are committed to the project and provide support to the team throughout the project, from inception to the final recommendations. Projects with weak business unit support are unlikely to succeed.

2. **Dysfunctional Team Dynamics.** Team dynamics are important to the success of action-learning programs. The selection of team participants and their ability to work together requires careful consideration. Coaches and facilitators can assist in helping teams to develop effective working relationships.

3. **Failure To Follow-Up Learning.** Follow-up after the action-learning program is completed is important. Participants need to know the outcome of their work and how it is to be implemented within the organization, particularly if they will be responsible for implementing the recommended changes. On a personal level, follow-up is necessary to ensure that the individual's new knowledge and insights gained from the project are reinforced.

Action-learning programs offer a viable leadership development alternative. These activities can be resource intensive, but they do have the potential to build future leaders and shape the direction of the organization. Executive leadership support is essential not only in defining objectives and outcomes, but also to reinforce the value of the program. Action-learning programs require careful planning.

H. MENTORING

Unlike coaches and other external facilitators, mentors exist within the organization. In mentoring relationships, a junior member of the organization is assigned to a senior manager who is outside of their direct reporting line. The role of the mentor is

²²¹ *ibid.*, pp. 230-234.

to nurture self-esteem – not just by heaping praise, but also by offering encouragement, and by believing in the ability of the individual to achieve uncommonly great things.²²² Typically, mentoring arrangements involve a one-on-one relationship between the mentor and his or her protégé. McCauley and Douglas (1998) note that one-on-one formal mentoring relationships should be considered by organizations if junior managers need additional exposure to the perspectives and job demands of senior managers and if senior managers have particular experience and expertise to share with junior managers.²²³

As mentoring is an extension of the leader's teaching role, then a logical extension is that it should form part of the organizational leadership development framework. Michaels et al. (2001) note that in most companies, mentoring of some kind happens every day, however few organizations have mentoring deeply embedded in their culture.²²⁴ In such cases, most mentoring arrangements are informal, which may not be effective in developing all of the potential within the organization. If formal mentoring arrangements are to be effective, then they should be integrated into the larger development strategy and clearly linked to business strategies and personnel practices (Kram and Bragar, 1992).²²⁵

Mentoring is a highly personal activity and requires good harmony between the mentor and protégé. It should be noted that the success of mentoring relies on the commitment of both parties. McCauley and Douglas (1998) note that not all senior managers have the time, motivation, experience, and expertise to share with junior managers.²²⁶ However, if mentoring is strongly embedded in the organizational culture, then senior leaders will be committed to mentoring, as they will have previously benefited from it.

There are two key conditions to ensuring that mentoring is effective. First, Bass (1990) notes that mentors should be older and have about eight to fifteen years more

²²² Michaels, E., Handfield-Jones, H., and Axelford, B., opcit., p. 116.

²²³ McCauley, C.D., and Douglas, C.A., "Developmental Relationships", from McCauley, C.D., Moxley, R.S., and Van Velsor, E., (Eds.), opcit., p. 183.

²²⁴ Michaels, E., Handfield-Jones, H., and Axelford, B., opcit., p. 117.

²²⁵ McCauley, C.D., and Douglas, C.A., opcit.

²²⁶ ibid.

experience than their protégés.²²⁷ Second, Hunt and Michael (1983) argue that mentors should be highly placed, powerful, and knowledgeable – that they need to be executives who will not be threatened by the protégés' potential to equal or surpass them.²²⁸ In such cases, subordinates value the input of their mentors, and will be more likely to mentor others at a later date. A limitation of these conditions is that at the senior levels, mentors may not be available to the executive, and other coaching alternatives may need to be considered.

Mentoring provides benefits to the individual, mentors, and the organization. At the subordinate level, effective mentoring relationships are highly motivating and contribute to increased performance.²²⁹ Mentors benefit in three ways: (1) the mentor's own advancement is facilitated if their replacement is ready to assume their position; (2) mentors accumulate respect, power, influence, and future access to information from those individuals they have helped to develop; and (3) mentors find the relationships to be creative, satisfying, and rejuvenating experiences (Levinson, Darrow, Klein, Levinson and McKee, 1978).²³⁰ The main drawback to mentoring is that conflict can occur between the mentor and the protégé's manager, and efforts should be taken to minimize it. McCauley and Douglas (1998) note that other potential drawbacks include the creation of a climate of favoritism, resentment by non-participants, and negative experiences.²³¹

Organizations can use both short-term and long-term mentoring arrangements. In short-term relationships, subordinates are usually assigned to a specific senior manager to gain certain experiences. Short-term relationships are typically limited to a maximum of three years and are specifically tied to an individual's development needs. Long-term relationships tend to be less structured and evolve due to mutual respect between both parties. Organizations should use both short and long-term mentoring strategies.

²²⁷ Bass, B.M., opcit., p. 835.

²²⁸ ibid.

²²⁹ Michaels, E., Handfield-Jones, H., and Axelford, B., opcit., p. 116.

²³⁰ Bass, B.M., opcit.

²³¹ McCauley, C.D., and Douglas, C.A., opcit.

Byham et al. (2002) note that organizations with mentoring programs are faced with two choices in providing mentors to protégés. Mentors can either be appointed from the same business unit or they can be outside of the unit. This is a key consideration for organizations that are heavily involved in mentoring. The choice of mentoring strategy should be clearly understood throughout the organization, and this can help to alleviate concerns of favoritism, and resentment by non-participants. Table 7 presents the advantages of both alternatives.

Table 7. The Advantages Of Pairing Mentors and Protégés Within The Same Or From Different Business Units

Mentor Within Same Business Unit	Mentor From Different Business Unit
The mentor knows more people in the business unit and has a better feel for what's happening in it.	The mentor knows more people outside of the business unit and can provide a wider perspective. The protégé gains greater visibility to the organization. The mentor can provide access to resources outside of the protégé's typical circle.
The mentor can more readily observe the protégé's behavior and thereby give more meaningful feedback.	The mentor usually cannot directly observe behavior so must seek examples of behavior before meeting with the protégé.
The mentor might have an existing relationship with the subordinate's manager, helping them all to work together as a team.	The subordinate might see the mentor as more objective if a conflict arises with their immediate manager.
The mentor might have talents in a professional or business area in which the subordinate needs to develop.	The subordinates' manager might benefit from the exposure to, and building a relationship with, a mentor outside of the business unit.
The mentor can nominate the subordinate for assignments within the business unit.	The mentor can nominate the protégé for assignments outside of the business unit.

Source: From Byham et al. (2002)²³²

²³² Byham, W.C., Smith, A.B., and Paese, M.J., *opcit.*, p. 274.

There are other forms of mentoring. Group self-mentoring involves a group or individuals at the same leadership level, discussing development issues, and sharing ideas. Web mentoring supplements traditional face-to-face meetings between mentors and protégés, and it is gaining in popularity. Both group self-mentoring and web mentoring could be used in conjunction with more accepted mentoring strategies.

Mentoring can be a highly effective means of developing future leaders. Mentoring is more likely to succeed if it is strongly embedded in the organization's culture. Effective mentoring programs can provide benefits at different levels in the organization. While mentoring requires executives to allocate time for other junior managers who are not their subordinates, mentoring is a relatively low cost leadership development alternative.

I. EXECUTIVE COACHING

While mentoring involves leaders within the organization assisting their subordinates to meet their developmental goals, executive coaching uses external experts to develop the organization's leaders. Executive coaching is very popular and it is seen as one of the viable alternatives to leadership development. A wide range of organizations including Coca-Cola, BP, Bank of America, General Motors, Ernst and Young, and the U.S. Postal Service has used coaching.²³³ Byham et al. (2002) state that effective executive coaches are seen as strategic business partners whose business experience, diagnostic insight, and proactive guidance offer tangible value to leaders.²³⁴ A key requirement of the relationship between the leader and the coach is that trust and rapport exist.

Coaching is an expensive, time and labor-intensive process, and it should be used selectively to support specific developmental objectives.²³⁵ An executive coach can also be used to provide an executive with a neutral advisor or confidant who can offer periodic guidance. Executives who no longer have access to a viable mentor could

²³³ Byham, W.C., Smith, A.B., and Paese, M.J., opcit., p. 241.

²³⁴ ibid., p. 242.

²³⁵ ibid., p. 245.

benefit from a coach. Byham et al. (2002) recognize that coaching could add value in three key areas.

1. **Career Or Role Transitions.** As leaders progress to a new leadership level, coaching can be effective in reinforcing the skills, time allocation, and values required in the new position. The coach works closely with the leader to ensure that he or she is operating at the right level, and assisting them to become more effective quicker.

2. **Specific Challenges Or Problems.** Coaches can bring considerable expertise to help leaders with different problems, which could include: addressing diversity and relationship issues; building specific skills; and improving their acceptance of feedback. As other organizations and executives have faced these issues, coaches will be able to offer suggestions and strategies to overcome these challenges.

3. **Avoidance Of Problem Areas.** Coaches can help leaders to avoid the key executive derailers and to recognize interpersonal blind spots. The leader should critically assess their personal performance and be willing to work with the coach, in order to improve coaching effectiveness. Byham et al. (2002) note that coaches can be effective in helping leaders to become effective in highly political, competitive, or high-pressure cultures, by helping them to understand how their actions are perceived, and to avoid potentially fatal career mistakes.²³⁶

Like other developmental activities, the existence of a coaching program does not guarantee leadership success. The organization's leaders must be committed to deriving value from coaching, which should be seen as part of the culture. Byham et al. (2002) identify five factors that will increase the likelihood of coaching being successful:²³⁷

1. **Desire To Change.** The leader must have the desire to change and improve their leadership abilities. If this desire is absent, then the relationship between the coach and the leader may not be effective.

2. **Sponsorship.** Sponsorship within the organization is a critical success factor. In coaching, this normally involves the executive who is being coached, the

²³⁶ *ibid.*, p. 252.

²³⁷ *ibid.*, pp. 252-253.

executive's sponsor and the coach. By involving the three parties, this will help to ensure that the coaching activity is related to the organization's demands.

3. Accurate Diagnosis Of Development Needs. While the leader's individual needs assessment should underpin all developmental activities, it is essential that coaching be matched to specific needs. With limited coaching resources, the leader in conjunction with the coach should prioritize his or her developmental needs. Coaching should be used for the more difficult needs that cannot be met by other alternatives.

4. Clear Plan With Objectives. A clear plan with precise objectives is a logical extension from the diagnosis of development needs. In essence, this represents the contract between the executive and the coach, which should be used to hold them accountable for the expected outcomes.

5. Strategic Linkages. Coaching initiatives should be directly related to the future strategic requirements of the organization. If this linkage does not exist, then the coaching will be less effective.

Coaches can use a variety of techniques to assist the executive to improve their performance. The executive should be comfortable with the combination of tools used in the coaching efforts. Byham et al. (2002) note that common tools and their uses include:

- Journalizing or Diaries. Used for both self-insights and coach's insights regarding behavior patterns and trends.
- Shadowing. Coaches might spend time at various points observing executives in their own environment, across a variety of situations and challenges.
- Brokering Other Developmental Options. Coaches might research best-fit educational programs or seminars or facilitate networking opportunities and other strategies tailored to meet their client's needs.
- Regularly Scheduled Progress Checks. Coaches help executives stay focused on their goals through mutually agreed-upon calls and discussions. Coaches also provide on-call assistance, as required.
- Progress Measurement. Follow-up assessments, objective results, and interviews with peers, superiors, or partners are common milestone measurement strategies.²³⁸

²³⁸ *ibid.*, p. 259.

Executive coaching requires the commitment of both the coach and the executive to maximize benefit for both parties. The executive must be a willing participant and be prepared to trust the coach. The executive needs to work closely with the coach to refine their developmental needs, and to help the coach to understand the executive's most effective learning styles. Good communication between the executive and coach is essential. The coaching arrangement is reliant on the commitment and energy of both parties, and this will determine the effectiveness of the development effort.

J. FEEDBACK AND REINFORCEMENT

Feedback and reinforcement are critical parts of the development process, and these mechanisms should be present in all development activities. Individuals require feedback on the outcomes of the developmental process. Feedback should relate to the effectiveness of the application of new knowledge and skills, or personal leadership behavior. Conger and Benjamin (1999) state that feedback is particularly important in the leadership development process because as leaders progress in the organization they have fewer opportunities to get direct and objective input on how they are perceived by others.²³⁹ Reinforcement occurs at two different levels. First, reinforcement at the individual level is required throughout the development process to provide encouragement and assist the individual to remain committed to the developmental activities. Second, reinforcement at the organizational level is necessary to ensure that the institution values the leadership development process and is committed to supporting it. If feedback and reinforcement are missing, then the effectiveness of the leadership development process will be diminished.

Feedback can be provided from sources including board members, executives, peers, subordinates, and external agencies such as customers and suppliers. The objective of feedback is to enable the individual to improve their strengths and weaknesses, and to facilitate their development. Ideally, feedback should be honest and constructive. The use of multi-rater systems such as 360-degree feedback can be used in this process. Individuals should be able to relate the constructive criticism to their own personal development plans. The information gained from the feedback process will help

²³⁹ Conger, J.A., and Benjamin, B., opcit., p. 38.

the individual to reassess their strengths and weaknesses, which can be used to refine the personal development plan. Coaches and mentors can provide valuable insights into how an individual can refine their personal agenda. The willingness to accept and use the feedback depends on the individual. Conger and Benjamin (1999) note that some individuals are prepared to use the information as a source of learning and insight; others react more defensively.²⁴⁰ Feedback is a continual part of the learning process.

Without reinforcement at both the individual and organizational levels, leadership development processes will wither. Organizational support for these programs and for the individuals undertaking them is critical for their continued success. Such support will be an integral part of the culture of either a leadership, learning, or teaching organization. Reinforcement is also necessary to ensure that the new knowledge, skills, and behaviors are consolidated for both the individual and the organization. It is important to design follow-up activities in the leadership development process to reinforce the key learning activities. Conger and Benjamin (1999) cite four reasons why most well designed leadership development programs fall short in their follow-up:

1. There is a whole set of organizational realities that can get in the way. Program sponsors or designers may be promoted, transferred, or leave the organization.
2. The daily challenges and time demands of operationalizing the change agenda, added to those of one's regular work, make people less supportive of subsequent events that need extra time and energy.
3. The natural rhythms of the business cycle, as well as unexpected events in the external environment may divert attention to other, more immediate pressures.
4. Top management's disregard for or ignorance about the importance of follow-up.²⁴¹

K. INTEGRATED LEADERSHIP DEVELOPMENT FRAMEWORK

Leadership development programs should not rely on a single strategy but rather they should embrace a framework that uses all of the alternatives. Implementing an

²⁴⁰ *ibid.*, p.40.

²⁴¹ *ibid.*, pp. 191-192.

integrated leadership development framework will help individuals and the organization to match personal developmental needs to the most appropriate learning strategy. The leadership development options identified in the previous sections can be used to address both short-term and long-term developmental needs. Short-term strategies, such as coaching, skill-based training, and short-term experiences, are designed to provide immediate results. Long-term strategies including mentoring, foundation education, job rotation, and action-learning programs, are unlikely to deliver immediate results. Developing an integrated leadership development framework helps the organization to embed such a strategy within the culture. This approach also reinforces the organization's commitment to growing the institution's leadership talent for future executive roles. Michaels, et al. (2001) note that such an integrated approach is consistent with emerging approaches to leadership development. Table 8 contrasts this new approach to development with the previous approach.

Table 8. Leadership Development Approaches – Old and New

Old Approaches to Development	New Approaches to Development
Development just happens.	Development is woven into the fabric of the organization.
Development means training.	Development primarily means challenging experiences, coaching, feedback, and mentoring.
The unit owns the talent; people do not move across units.	The company owns the talent; people move easily around the company.
Only poor performers have development needs.	Everyone has development needs and receives coaching.
A few lucky people find mentors.	Mentors are assigned to every high-potential person.

Source: From Michaels, et al, (2001)²⁴²

Table 8 highlights the importance of mentors and coaches in the development process and downplays the role of training as the principal means of development.

²⁴² Michaels, E., Handfield-Jones, H., and Axelford, B., opcit., p. 98.

Within the integrated leadership development framework, all strategies can be used and it is important to match the development technique with the area to be strengthened in the personal development plan. The personal development plan is not a static agenda, but one that grows with the individual. It is likely that middle and senior managers will receive advice from three different sources: senior manager, mentor and coach. With this framework, there is potential for conflict in the advice that is given to the individual regarding their developmental needs. The individual should share their personal development plan with their senior manager, mentor, and coach, to help them provide feedback that is consistent with the stated development objectives. It should be recognized that the senior manager, mentor and coach have different interests with respect to an individual's performance and development. These differences are highlighted in Table 9.

Effective leadership development programs will involve different developmental activities that are purposefully designed to satisfy specific individual needs. The use of an integrated framework provides different options to support the achievement of the personal development plan. Organizations that embed an integrated leadership development framework into their culture will be better placed to grow their own leadership talent. Such an approach recognizes that no single approach is superior, and that different options can be used to support the same plan. The roles that managers, mentors and coaches play are different, and by recognizing these subtleties organizations can help to minimize the potential for conflicting advice.

Table 9. Differences in Perspectives Between Coach, Mentor and Manager

Coach	Mentor	Manager
Has an individual perspective: provides insight and perspective aligning an individual's developmental goals with those of the organization.	Has a horizontal or systemic perspective: provides insight and perspective that matches the flow of business across several different functions.	Has a vertical perspective: provides key insights and perspectives about the function or department they manage.
Provides an external mirroring: models effective two-way communication and feedback in order to improve the performance of the learner.	Provides indirect authority: not responsible for managing the performance of the learner.	Provides direct authority: responsible for the learner's performance and success on the job.
Advice to further development: shares confidential and personal feedback but encourages learner to share development plans with others.	Advice to broaden viewpoint: allowed to share information to which the learner is seldom privy.	Advice on performance management: able to provide feedback on an on-going basis so the learner knows how he or she is performing in relation to goals and objectives.
Foster self-insight: concerned with helping the learner grow through introspection and feedback from others.	Foster self-responsibility: concerned with helping the learner take charge of his or her own growth.	Foster accountability: responsible for monitoring performance and progress through appraisals and other formal systems.
Concerns about personal growth: concerned that the learner is successful at learning and becoming a more effective leader.	Concerns about thinking: ultimately concerned that the learner gains perspective and is successful at learning.	Concerns with productivity: concerned with the learner's success on the job.

Source: From Kaye (2001)²⁴³

²⁴³ Kaye, B., *Coaching And Mentoring: New Twists, Old Theme – An Introduction*, from Carter, L. II., Giber, D.J., and Goldsmith, M., (Eds.), *Linkage Incorporated - Best Practices In Organization Development And Change: Culture, Leadership, Retention, Performance, Coaching*, First Edition, Jossey-Bass/Pfeiffer, 2001, p. 439.

L. SUMMARY

Leadership development can occur in different ways. However, the key issue is to ensure that such activities are designed to meet specific individual and organizational needs. If leadership development programs are to be successful, the individual should be highly motivated to learn, and there should be a good fit between the individual and the organization. Prior to any development activities occurring, effort should be made to assess the individual's specific needs, in order to produce a feasible personal development plan. At the organizational level, the organizational culture should foster feedback and reinforcement, as these aspects are critical to the success of leadership development programs.

The use of an integrated leadership development framework will provide benefits from various learning experiences at different time periods. Activities such as coaching, skill-based training, and short-term experiences will provide immediate benefits, whereas mentoring, education, job rotations, and action-learning projects will deliver longer-term results. Coaching, mentoring, job experiences, and action-learning projects have been more popular as leadership development methodologies in recent times. While education and training still provide valuable insights into leadership, these programs are being integrated with other workplace-based initiatives. The concept of an integrated leadership development framework is more applicable for addressing the needs of future executives.

VIII. IMPLICATIONS FOR MILITARY ORGANIZATIONS

A. INTRODUCTION

This chapter applies the leadership theories and concepts synthesized in Chapters V, VI, and VII to the Australian Defence Force (ADF). Military forces such as the United States Army and the Australian Army have developed leadership models specific to their organizations. Such models should be consistent with the force's future strategy and should reflect the organizational culture. Military leaders are expected to be students of the profession of arms, including the development of leadership knowledge, skills, and abilities. While some aspects of military leadership are unique, such as battlefield leadership, many of the leadership issues faced by military organizations are also encountered in other corporations and institutions.

The selection and development of future senior leaders is a core activity for the military. It is difficult to isolate selection and development issues as these functions are closely related; both processes inform the other. Selection decisions are needed to identify people for further development, and the results of developmental activities will help the organization choose its future senior leaders. Military organizations can learn from other organizations to improve the quality of leader selection and development processes. The McKinsey Group's War for Talent Study (Michaels et al., 1999) highlights that the quality of an organization's leadership selection and development processes are especially critical to an organization's that grows its own leaders. Organizations are finding that in order to attract and retain high quality people (both in terms of performance and potential), effective selection and development strategies are paramount. Military organizations face similar problems in attracting and retaining key personnel.

An organization's leadership model, its selection of future leaders, and its leadership development activities are closely related. The organizational leadership model should underpin selection and development activities, and this applies in all military organizations. Figure 6 shows the relationships between these three entities.

The implications for military organizations, with particular reference to the ADF, with regard to each of these entities will be discussed in the following sections.

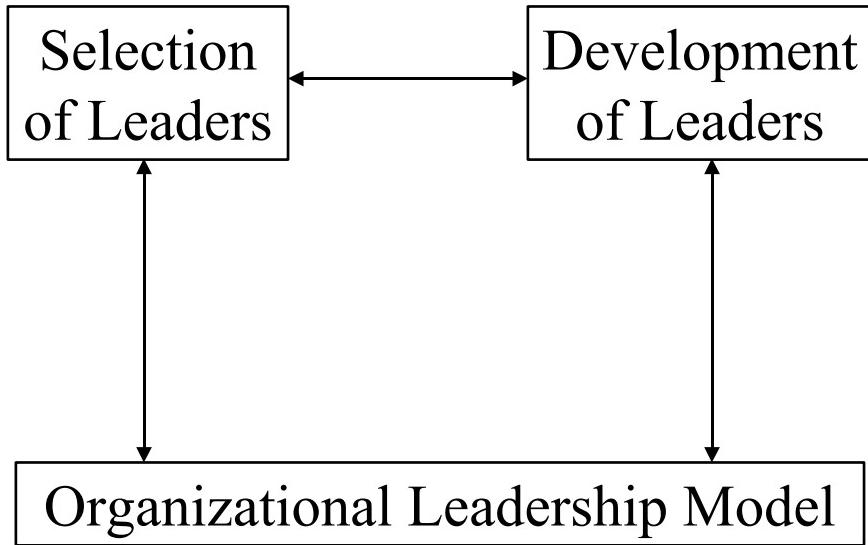


Figure 6. The Links Between The Organizational Leadership Model, And
The Selection And Development of Leaders

In this representation, organizations must have a single, clearly defined leadership model, closely coordinated with its selection and development strategies. The arrows represent the flow of information between each entity. This figure reflects the dynamic nature of leadership, and reinforces the concept of a leadership organization where learning and teaching are valued. Discontinuities in this framework, such as no leadership model, or no linking strategies, will cause the organization problems as it tries to develop its own leaders.

B. LEADERSHIP MODELS

Military organizations should develop and maintain an organizational leadership model. These models should exist at the Service level, and must capture the essence of leadership for the particular Service. This model should also reflect the culture of the Service, and be applicable to all leaders. The development of unique leadership models

for particular communities or occupational specialties should not be encouraged, as this leads to inconsistencies in leadership definitions and is wasteful in resources. As Services in both the United States and Australia are moving to a more joint orientation, a single leadership model for all Services may be an effective development, particularly in relatively small forces such as the ADF. In developing a joint leadership model, close cooperation between the Services and their leaders would be necessary. The joint model should consist of the common features in the existing Service leadership models. Consensus between the respective Services is a critical step in formulating a joint leadership model.

A single joint leadership model would be useful for the ADF. Recently, there have been greater efforts to create synergy between the respective Services. This is best seen in the creation of the Australian Defence College (ADC), which is responsible for education and training at junior, mid and senior career points. A joint leadership model would be advantageous in helping to refine a formal continuum for leadership education and training. The joint leadership model may also help to draw the distinctive cultures of the three Services closer together.

There are two important issues to address in the development of a joint leadership model: (1) responsibility for the framework, and (2) revision methodologies. First, responsibility for developing and maintaining the joint leadership model and related doctrine should be given to the ADC. This is consistent with previous single Service approaches to leadership doctrine, where responsibility has been vested in the respective training commands. Within the ADC, the existing leadership center's role would be expanded, with additional resources being provided to meet this extended charter. Second, the joint leadership model should be revised on a regular basis, and this should occur as part of the strategic review process. Leadership is a strategic organizational issue, and the model should be adjusted to reflect the challenges in the strategic environment. As the strategic outlook is reviewed every four years, this will mean that the key tenets of the joint leadership model will also be reviewed regularly. While aspects of the leadership model will remain unchanged (common features about leadership and leaders), the revision process will identify the new leadership challenges for the organization, and the new demands on leaders at each level. The regular revision

process will ensure that the model remains relevant, and it will help to inform selection and development strategies.

In the Australian Army, the leadership model has been used to guide leadership education and training. However, the link between the model and selection strategies is weak. To address this concern, particularly if a joint leadership model is created for the ADF, the organizational leadership framework should clearly define the different leadership levels within each Service. These leadership levels should be defined in terms of leadership knowledge and skills, time allocation, and work values. This approach will further define and differentiate the leadership responsibilities at each rank level. Articulating the leadership requirements at each level in such terms makes the establishment of a leadership pipeline easier, which will help the ADF to refine selection and development strategies. Selection processes will be enhanced because it will enable leaders to assess the leadership performance and potential of their subordinates in a more rigorous manner. Development strategies will also benefit because the leadership responsibilities are more clearly defined. This will enable more effective leadership development programs to be introduced.

C. SELECTION IMPLICATIONS

Within military organizations, selection for positions of increased responsibility is based primarily on performance. Selecting an individual for increased responsibility may involve promotion, but this is not always necessary. At any given rank level, certain appointments may have greater leadership responsibilities, and it can be difficult to equate the relative characteristics of different positions. In military organizations, selection decisions are critical because the pool of candidates for the next level is reduced due to the hierarchical nature of the rank structure. The system's key advantage is that it provides a highly controlled process for promoting people to the senior ranks. With no lateral recruitment, or limited capacity for individuals to bypass rank levels, decisions at lower levels directly affect the quality of people available for senior appointments.

Within the ADF, performance is usually measured through the use of annual confidential reports which rate the individual's performance over the reporting period. These evaluation reports provide the main source, but not the sole means, for establishing

relative merit among individuals. As the report concentrates on performance, it is considered to be a one-dimensional reporting system.

The main concern with the one-dimensional system is that it does not assess potential rigorously. Reporting officers can make a recommendation for early promotion or increased responsibility, however this does not constitute a thorough assessment of potential. Assessing an individual's potential for the next leadership level will strengthen the existing evaluation report. As selection processes remain a single Service responsibility, each Service would need to develop its own criteria for potential, which should be based on the essential and desirable qualities listed in Table 6. Ideally, there would be consistency between the Navy, Army and Air Force.

The assessment of potential should occur principally at two levels. First, officers who are responsible for evaluating an individual's performance will also assess potential in line with the requirements of the next leadership level. Second, promotion boards will be required to consider an individual's performance and potential before selecting an individual for promotion. These formal methods of assessing potential could also be supplemented by informal arrangements, such as consideration of reports from mentors. It should be recognized that an individual's performance and potential might vary over time, and according to the job being performed.

In introducing the revised assessment system, it is proposed that all officers in mid level positions (O5 and O6) be used as a pilot project, before extending the scheme into the more senior and junior levels. Selecting the mid-level officers is where the revised system can have the most impact, as these individuals are next group of senior leaders. The scheme should certainly be extended to star level (general) officers and to O4. Given that high promotion rates exist from O2 to O3 and to a lesser extent from O3 to O4, the introduction of a two-dimensional system is a lower priority at these levels compared to the other ranks.

Another feature of the existing selection systems within the ADF is that promotion boards are often separate from job selection processes. The evaluation of performance and potential will lead to a more rigorous talent management process, and will draw the promotion and job selection processes closer together. A more complete

assessment of the individual will help in identifying high potential-high performers, and low potential-low performers. These two categories will be small compared to the total population at each rank level, but individuals in these groups need careful management. First, high potential-high performers are likely to be the future senior leaders, and special attention should be paid to their future job rotations and developmental needs. The ADF should be strongly committed to retaining and developing these people. Current senior leaders need to support and nurture this talent. Second, low potential-low performers should be moved to positions of lesser leadership importance, and actively managed out of the ADF. Senior leaders need to consider such actions with diligence and tact, to ensure that the individual is separated with dignity and respect. However, if such action is not taken, these people will not be effective in developing others, and high quality people are likely to leave the organization. For individuals who are not in these categories, selection for future appointments and development will be based on merit, considering both performance and potential. This additional dimension should assist career planners in coordinating the needs of the Service with those of the individual.

D. DEVELOPMENT IMPLICATIONS

In creating an integrated leadership development framework, the ADF has a suitable foundation with the officer development continuum, which highlights the various career paths available to individuals, and links them to mandatory career courses. Currently, leadership development is based on two key strategies: education and training, and job experiences. The ADF's integrated leadership development framework should consist of the following six strategies:

- 1. Personal Development Plans.** While an individual may have a personal development plan, these plans are not routinely used within the ADF to monitor individual learning needs and provide the appropriate developmental opportunities. While aspects of critical introspection and identifying personal goals are an individual responsibility, senior military leaders should, through example, encourage their subordinates to define their developmental needs. As personal development plans become more widespread within the organizational culture, it will be easier for individuals, senior managers, mentors, and career planners to coordinate their efforts to

help individuals meet their learning needs. As the performance-potential evaluation system matures, individual progress measured against personal development plans should be noted in the annual appraisal. The personal development plan is critical because it identifies learning needs and the most appropriate developmental strategy.

2. Education and Training. Education and training programs within the ADF are designed to meet the generic needs of individuals as opposed to specific requirements identified in a personal development plan. Foundation leadership education and training is concentrated at three key career points: (1) pre-commissioning (joint and single service schools); (2) mid-career at the Australian Command and Staff College; and (3) at senior levels at War Colleges and other executive education programs. While transition and prescriptive training occur at these points, the majority of the leadership education and training is delivered in the pre-commissioning courses. Education and training at the junior level highlights leadership theories and models, and emphasizes that leadership skills and qualities are developed through career experiences. At the mid and senior career levels, leadership education and training focuses on the leadership challenges and complexities faced by senior leaders in the organization. While the concept of foundation education and training is supported, this should be complemented by developmental opportunities that are designed to meet the specific needs of individuals. Graduate education programs in specific areas, including executive short courses, are examples of complementary development events.

The main concern with the ADF's current approach is that leadership education and training is concentrated into three points in the generic career profile. This is not well aligned to the leadership transitions required in a military leadership pipeline. The current approach would be satisfactory if the ADF had only four leadership levels. Leadership education and training should match the leadership levels identified in the organizational leadership model. Transition courses should occur between each level in the leadership pipeline. Broadening the education and training base will help to reinforce the notion that leadership development is a continual process.

3. Job Experiences. Leaders within the ADF are exposed to a wide range of job experiences through regular job rotations and other short-term assignments. These

include operational deployments and other overseas postings. Officers can expect to serve between one and three years in any given appointment. At each rank level, job rotations are designed to broaden an individual's experience base, and certain appointments such as command positions and operational tours are highly desirable. The main emphasis with these job experiences is for the individual to have completed certain appointments before reaching the next promotion or selection board. This leads to a narrow focus that recognizes the types of appointments completed as opposed to the specific outcomes gained from a particular experience. Experiences gained outside of the organization, such as involvement with community groups and professional bodies tend to be discounted.

Within the ADF, the value of job experiences should be increased by recognizing the specific developmental gains made by the individual. Two benefits will follow. First, the value of the individual development plan will be reinforced, particularly if the job experience is specifically tailored to an identified learning need. Second and more important, a more complete assessment of the individual's performance and potential will be possible, which will lead to better information being available for future selection processes.

4. Action-Learning Projects. Given that action-learning projects are receiving greater attention than generic executive education programs, military organizations could benefit from using these learning activities. Action-learning projects have not been extensively used within the ADF. There is potential to use such projects to solve issues that are important and relevant to the ADF. Participants in active-learning projects should be selected from mid level officers (O4 to O6) and involvement in the project will depend on their experience and learning needs. The project team should be drawn from different parts of the ADF, and should have a diverse range of experiences. The use of action-learning projects should be done on a selective basis, and requires the active support of the senior leadership. The senior leadership would be actively involved in identifying the topic, selecting participants with assistance from career planners, and providing resources to the team. Projects could be sourced from concerns raised to the senior leadership team from different feedback mechanisms. In establishing and supporting the project, the team must be given guidance to establish the objective and

reporting requirements. Teams could also require additional coaching and facilitation support to ensure that the project is completed on schedule.

5. **Mentoring.** Within the ADF, mentoring arrangements tend to be informal and are not widely used. These informal mentor relationships exist at different levels, tend to be based on previous working relationships, and may be within the current chain of command. Given the strength of the chain of command, mentoring relationships should be formed where the two individuals are not in the current reporting line. To formalize mentoring arrangements, commitment is required from the senior leadership. This commitment should extend to supporting training for mentors to ensure that they are well prepared to help their protégés.

In formalizing the mentoring system, the ADF could use the expertise of other human resource professionals who have had experience in developing and instituting mentoring programs in other large organizations. A pilot project using mid level officers (O5 and O6 level) should evaluate the effectiveness of the program. Feedback from this group will be important as they will be required to mentor other subordinates once the system is finalized and extended to the junior levels. This group of mid level officers will also form the next senior leadership team and this pilot program will expose them to the broader benefits of mentoring and coaching.

6. **Coaching.** The use of external coaches to support senior military leaders is not widespread, and this is the case in the ADF. Coaches should be used to assist star-level officers, as it is likely that their previous mentors may no longer be available. The selection of a suitable coach is a key concern. External coaches should offer the senior leader new insights, which should help them to broaden their perspectives on different issues. Coaches should be experienced in working with senior leaders, and should not have a close connection with the organization. This will help them to provide the leader with objective and relevant advice.

Summary of Developmental Implications. The ADF currently provides leadership developmental opportunities through education, training, and job experiences. These initiatives are broadly linked to the career profiles. An integrated leadership development framework can be established by building on existing strategies. Three key

aspects are necessary to develop this framework. First, individual plans with stated leadership developmental needs should be used as the basis for choosing developmental strategies. Cooperation and coordination between the individual and the organization is required to maximize the benefits for both parties. Second, leadership developmental programs should be aligned to the organization's leadership levels identified in the organizational leadership model. Third, the range of developmental opportunities should be expanded to include mentoring, coaching, action-learning projects, and other experiences.

E. SUMMARY

Military organizations including the ADF highly value leadership as a core activity, and recognize the importance of selection decisions and the need for continued professional development. In military organizations where leadership, learning, and teaching are valued, a single organizational leadership model should be the foundation of all other leadership-related activities. The organizational leadership model must fulfill two key requirements: (1) it defines leadership in terms that are relevant and meaningful for the organization; and (2) it defines the leadership responsibilities at the different levels. If the leadership model meets these conditions, then it can be used to inform leadership selection and developmental initiatives. An organization's leadership model, its selection of future leaders, and its leadership development activities are closely related.

Military organizations, such as the ADF, tend to select individuals based primarily on performance. This is a sound methodology, which can be improved by also assessing an individual's potential. This addition will enable highly talented people (both in terms of performance and potential) to be identified and nurtured for senior leadership roles. By strengthening the selection system with the dimension of potential, the aim is to identify pools of talented people at all rank levels capable of filling positions of increased responsibility. The selection process should be aligned with the respective leadership levels in the organization. This will help military organizations move closer to a succession planning system as opposed to a replacement planning system.

Leadership development programs within the ADF and other military organizations can be strengthened, which will improve the quality of the outcomes for the individual and the organization. Development programs should be aligned to the organization's leadership levels, and should meet specific individual needs. Existing leadership development programs should be expanded to include personal development plans, mentoring, coaching, and action-learning projects. These additions will help to develop a more integrated framework for leadership selection and development.

Military organizations need to consider the three aspects of a single organizational leadership model, selection of leaders, and development of leaders as an integrated framework. Figure 7 shows the aspects that need to be strengthened in each element of the system, and the importance of the links between each element.

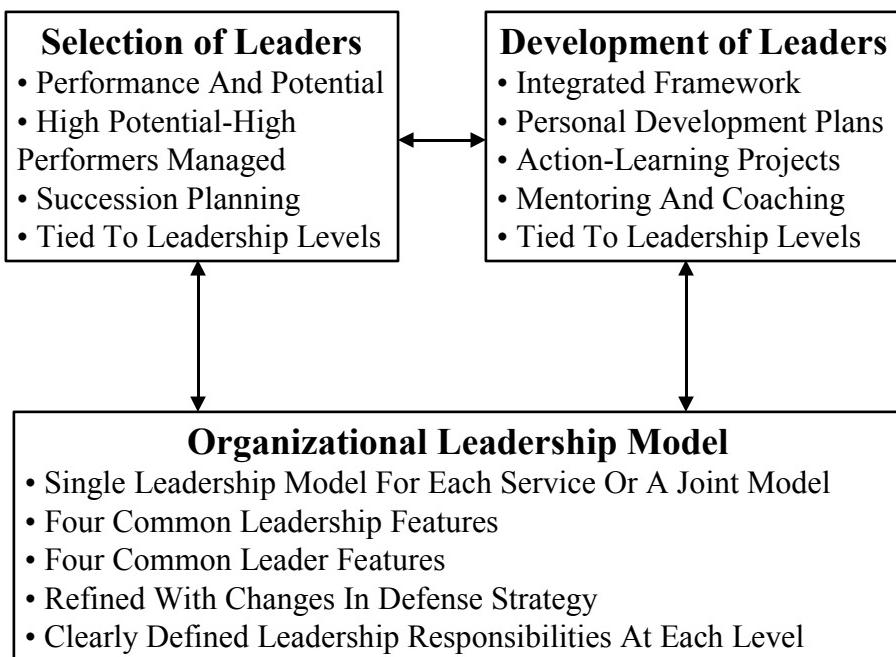


Figure 7. Strengthening The Military Leadership Organization - Key Features And Linkages Of The Organizational Leadership Model, With The Selection And Development Of Leaders

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IX. CONCLUSIONS AND RECOMMENDATIONS

A. SUMMARY

This chapter summarizes the three main components of the study: leadership and organizational leadership models, selection processes, and leadership development strategies.

1. Leadership and Organizational Leadership Models

Leadership is a complex issue and there is no universal agreement on a single definition. Different leadership theories have been developed to increase the general understanding of the discipline. These theories can be grouped into a taxonomy, which consists of five broad groups: (1) personal characteristics and traits, (2) leadership styles, (3) transactional and transformational leadership models, (4) cognitive and change leadership models, and (5) integrative leadership theories. While the recent trend has been towards developing more comprehensive integrative leadership models, research in other areas, such as personal characteristics and leadership styles, is evident. It is important to note that emerging organizational and leadership issues will continue to be incorporated into the body of knowledge, and this expands the understanding of leadership. Organizations need to develop their own leadership model in order to define leadership in terms that are relevant and meaningful for the people in the organization. Effective leadership models also emphasize the leader's learning and teaching roles within the organization.

While the organizational leadership model will be unique to the particular Service, common features should be evident. The leadership model should reflect the four common features of leadership identified in Chapter IV. First, the leadership model should reflect the multidimensional nature of leadership. Effective leadership models will define the essence of leadership and how it is applied within the Service. Second, the model should reflect that leadership is an active paradigm, which requires energy and effort from leaders to achieve extraordinary results. Leadership models are not passive frameworks. Third, the model should reinforce that leadership focuses on people and leading them. The military relies on people, and without effective leadership the military

will fail. Fourth, the model should emphasize that leadership is about change and reinvention. Leadership is about being prepared for future challenges, opportunities, and threats. This is highly applicable to the military, as it prepares and trains to fight and win the next war.

The model should also capture the four common features of leaders. First, leaders must have a set of personal attributes and values, and these should be closely aligned to the core values of the organization. Military leaders are representatives of the organization, and their attitudes and values must reflect those that are important to the Service. This fit helps the leader to establish credibility. Second, leaders must express clarity of purpose. The clarity of purpose is often expressed in the vision, and must also be articulated in the mission. Military leaders must seek clarity of purpose to inspire and motivate their subordinates. Third, leaders must be effective communicators. Communication skills are critical for military leaders. Fourth, military leaders need to be both students and teachers of their profession. Without a strong foundation for learning and teaching, military forces cannot effectively learn from past experiences, and the consequences can be great. Both learning and teaching are critical to future success. If the leadership model embraces the common features of both leadership and leaders, then it is likely to have meaning and purpose in the longer term. These features are considered to be enduring, and define the essence of leadership.

The leadership model should take into account key cultural and strategic realities of the organization. The leadership model should reflect the organizational culture and should help to minimize the institutional barriers to effective leadership that are present in all organizations. Leaders play an important role in shaping the future climate and culture within the organization. Military Services will also need to update the leadership model to reflect the emerging strategy, which should encompass the new challenges, opportunities, and threats in the environment. Large military forces can establish leadership centers with a charter to research and teach leadership for the Service, which includes stewardship of the organizational leadership model. Smaller forces may not be able to afford a full-time commitment to ongoing research and development. The refinement of the leadership model should closely follow the defense strategic review

process. This will ensure that the Service's future leadership needs are accurately reflected in the model, and can be linked to selection and development processes.

2. Leadership Selection Processes

Organizations are finding that developing leaders within the organization is more effective than recruiting them externally. While military organizations have always developed their leaders, selection systems are based on a replacement planning system. To select the best people for future leadership roles, organizations need to establish succession planning and talent management systems to ensure that the institution will have the right leaders in the future. Succession planning ensures that a pool of talented and suitably developed individuals exist for senior appointments. Talent management systems consider an individual's potential as well as performance.

The main benefit of a selection system based on performance and potential is that the organization can make better decisions about future development and succession plans than if they base those decisions on performance alone. The assessment of potential depends on the characteristics of the next leadership level being clearly defined. The selection process should be aligned to the organization's leadership pipeline, where different leadership skills, time allocation and values are defined for each leadership level within the organization. This requires a clear link with the organizational leadership model. Development plans can be formulated to ensure that a pool of talented people exist at each level, which will support the organization in its succession planning activities. The link between selection and development is important in establishing a succession management system.

Military selection systems are predominantly based on performance, and these can be enhanced by a more rigorous assessment of potential. This will help senior leaders to make informed decisions about the organization's talent, particularly those individuals at both the highs and lows of performance and potential. Careful management of these individuals will also support the creation of the organization's leadership pipeline. The use of a talent management system will draw promotion and job selection processes closer together, and will allow organizations to develop a succession management system. Selection and development strategies should be coordinated.

3. Leadership Development Strategies

Existing military leadership development programs are based mainly on education, training, and job experiences. Military forces both in Australia and the United States invest heavily in education and training programs, particularly for the officer population. These courses occur at key career points such as Command and Staff College, or War College, and selection is based on merit. Within military forces, leaders are exposed to a wide range of experiences through regular job rotations and other short-term assignments. In some instances, mentoring exists in a limited sense, and arrangements are not generally formalized. These activities provide a solid foundation in which to develop a more integrated leadership development framework.

Leaders at all levels should be encouraged to identify their own developmental needs through critical introspection. This will enable them to recognize their strengths and weaknesses, in relation to the current and next leadership level within the organization. Leadership development activities should be tailored to meet an individual's specific learning needs. While education, training and job experiences are important, it is essential that these activities be designed to maximize the individual's development requirements. These strategies will be supplemented by action-learning projects, mentoring and coaching.

Action-learning projects have not been used extensively within military organizations. There is potential to undertake action-learning projects to solve high-profile problems within the organization, and develop the leadership potential of talented individuals. Action-learning projects should be used to address problems with broad organizational implications, and the project team should have a range of different experiences. Such projects enable future leaders to solve real-time problems. It is noted that some leaders will have developmental needs that can be best achieved by being involved in an action-learning projects. Given the importance of the task and the visibility of the team to the senior leadership, individuals should be motivated to complete such tasks. These projects benefit both individuals and the organization.

Mentoring and coaching provide developmental opportunities specifically aimed at meeting an individual's needs. Both mentoring and coaching can provide valuable

insight and support for leaders at all levels. The benefits derived from mentoring and coaching will be seen in future generations of leaders. If the next generation of leaders have had positive mentoring and coaching experiences, then this is likely to improve the chances of continued support for such programs. Effective mentoring and coaching programs will take time to institute in the organization. By formalizing mentoring and coaching arrangements, military organizations will need to be aware of the different roles played by managers, mentors and coaches.

B. RECOMMENDATIONS

While the recommendations are directed to the Australian Defence Force (ADF), they could also be applied to other military organizations. The recommendations are:

- Develop a joint leadership model for the ADF, which is applied throughout the organization. The joint model should be relevant to the current defense strategy and must clearly articulate the different leadership levels.
- The joint leadership model should be linked to selection processes and leadership development programs.
- Individual reporting systems should be revised to ensure that performance and potential are effectively measured.
- Current promotion and selection processes should be refined to consider both performance and potential, in order to develop a more effective talent management system.
- The leadership development framework should be expanded and include action-learning projects, mentoring, and coaching.

C. FURTHER RESEARCH

Further research is recommended in three key areas:

1. Examine the mechanisms required to revise the organizational leadership model, including the skills, time allocation and values required at each leadership level, to ensure relevance and consistency with the organization's future direction.
2. Determine the measures of potential at each leadership level and how these can be incorporated into a military appraisal system.

3. Determine how personal development plans can be integrated into military personnel management processes to maximize the benefits for individuals and their career planners.

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INTERVIEW

Mr. Barry Leskin, Talent Management Consulting (former Chief Learning Officer Chevron Texaco), November 29, 2002

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